

# NYSE Pillar Connectivity Questionnaire (CQ)

## Instructions and Information

Permit Holders must complete, and the Exchange must approve, the following questionnaire prior to establishing connectivity to the Exchange. All connections are subject to and governed by applicable laws, regulations and Rules and any applicable user agreement.

### 1. Process for adding Connectivity:

- Step 1: Completed Connectivity Questionnaire (CQ) is sent to Client Relationship Services (CRS) at [CRS@nyse.com](mailto:CRS@nyse.com). Please complete a separate CQ for MPIDs with different access types.
- Step 2: When the CQ is approved, CRS permissions the new access type for the next business day and notifies the Permit Holder and the API Technical Support team.
- Step 3: If a new session is required, please also submit the NYSE Pillar Native Gateway Session Request Form available at [www.nyse.com/pillar](http://www.nyse.com/pillar). If you have any questions related to sessions, please reach out to [support@nyse.com](mailto:support@nyse.com).
- Step 4: Permit Holder's new access to the Exchange is complete.
- If a connection is terminated by the Permit Holder, the Permit Holder must notify [CRS@nyse.com](mailto:CRS@nyse.com) within one business day.

### 2. The full text of rules referenced in this Connectivity Questionnaire can be found at [www.nyse.com/regulation](http://www.nyse.com/regulation).

### 3. Permit Holder and Contact Information

Permit Holder Firm Name:		CRD Number:	
Business Contact:		Business Contact E-Mail:	
Compliance Contact:		Compliance Contact E-Mail:	

### 4. Details

<b>MPID(s) requesting access to:</b>  <input type="checkbox"/> NYSE Arca Equities <input type="checkbox"/> NYSE American <input type="checkbox"/> NYSE National <input type="checkbox"/> NYSE Equities <input type="checkbox"/> NYSE Texas <input type="checkbox"/> NYSE American Options <input type="checkbox"/> NYSE Arca Options	<b><u>MPID(s):</u></b>  
How will this MPID(s) be accessing the exchange? Please check the appropriate box(es).  <b>*Service Bureaus, Floor Broker OMS and Floor Broker FBA Providers must sign in Section 5.</b>	<input type="checkbox"/> Direct (FIX) <input type="checkbox"/> Direct (Binary) <input type="checkbox"/> Service Bureau (SB Name: _____) <input type="checkbox"/> Floor Broker OMS (OMS Name: _____) (NYSE Equities Only) <input type="checkbox"/> Floor Broker FBA (FBA Name: _____) (NYSE Equities Only) <input type="checkbox"/> Identifier Only - No Connectivity
Will this MPID(s) be used by a customer or affiliate of the Permit Holder?  <b>If Yes, please list the customer or affiliate name:</b> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

### By signing this Connectivity Questionnaire:

- The Permit Holder represents that it has established reasonably designed regulatory policies and procedures and pre-trade risk management systems pursuant to applicable Rules and federal rules over the order flow that is sent through this connection.
- The Permit Holder confirms having established reasonably designed regulatory policies and procedures to monitor order flow pursuant to SEC Rule 15c3-5.
- The Permit Holder understands that this route is not to be used for any other purpose or for any other entity other than what is documented in this Connectivity Questionnaire.

Name and Title (Printed)		
Name (Signature)		Date:

Please return to Client Relationship Services via email at [CRS@nyse.com](mailto:CRS@nyse.com).

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**5. Access Provider Authorization (Service Bureau / Floor Broker OMS / Floor Broker FBA)**

Permit Holder Firm Name:		MPID:	
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The undersigned, as an approved NYSE Service Bureau, Floor Broker OMS or Floor Broker FBA, agrees to provide access to the NYSE Platform for the above mentioned Permit Holder per the information outlined in this Connectivity Questionnaire and in accordance with the NYSE Pillar Access Provider Connection Agreement, or other applicable NYSE Agreement.

Access Provider Name (Service Bureau, Floor Broker OMS or Floor Broker FBA):			
Authorized Signature:		Date	
Name and Title:			
Phone:			
E-Mail:			

Please return to Client Relationship Services via email at [CRS@nyse.com](mailto:CRS@nyse.com).