Processor Disclosure Form
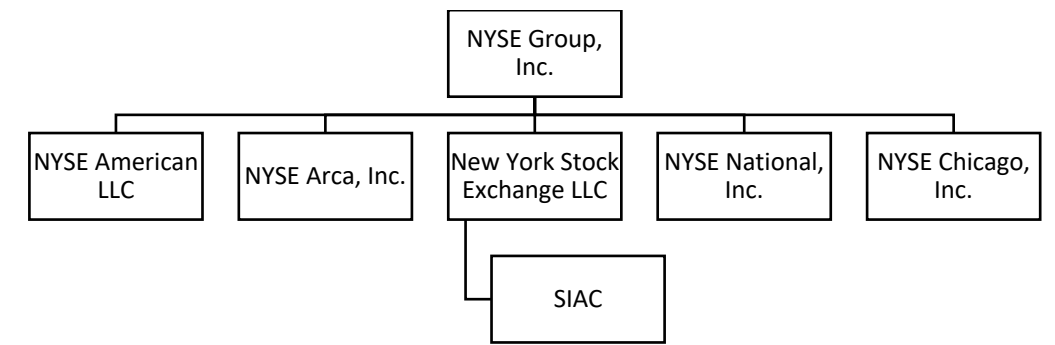
Securities Industry Automation Corporation ("SIAC")

- Is the Processor an affiliate of or affiliated with any Participant?

  Yes

  - If yes, disclose the Participant(s) and describe the nature of the affiliation. Include an entity-level organizational chart depicting the Processor and its affiliates.

    SIAC, the processor under the CTA/CQ Plans, is an indirect affiliate of Participants New York Stock Exchange LLC ("NYSE"), NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc., and NYSE National, Inc.

- Provide a narrative description of the functions directly performed by senior staff, the manager employed by the Processor to provide Processor services to the Plans, and the staff that reports to that manager (collectively, the "Plan Processor").

  The Plan Processor is responsible for operating and maintaining computer and communications facilities for the receipt, processing, validation, and dissemination of last sale price and quotation information in accordance with the provisions of the CTA/CQ Plans and subject to the oversight of the Operating Committee; maintaining and publishing technical specifications for the reporting of last sale price and quotation information from the Participants to the Plan Processor; maintaining and publishing technical specifications for the dissemination of last sale price and quotation information over the high speed line facilities (Tape A and Tape B); maintaining back-up facilities to reduce the risk of serious interruption in the flow of market information; and providing computer and communications facilities capacity in accordance with the capacity planning process for which the Plan Processor contracts provide.

- Does the Plan Processor provide any services for any Participant's Proprietary Market Data products or other Plans?

SIAC does not provide any services for any Participant's Proprietary Market Data products.

SIAC is the processor for the Options Price Reporting Authority ("OPRA") Plan.

- o If Yes, disclose the services the Plan Processor performs and identify which Plans.

  The functions that SIAC performs as processor for OPRA are similar to the functions SIAC performs as the Plan Processor, described above.

- o Does the Plan Processor have any profit or loss responsibility for a Participant's Proprietary Market Data products or any other professional involvement with persons the Processor knows are engaged in the Participant's Proprietary Market Data business? If so, describe.

  No

- List the policies and procedures established to safeguard confidential Plan information that is applicable to the Plan Processor.

  CTA and CQ Plans Administrator and Processor Confidential Information Policy, dated September 1, 2020

- Does the Processor, or its representatives, have additional relationships or material economic interests that could be perceived by a reasonable objective observer to present a potential conflict of interest with the representatives' responsibilities to the Plan?

  No

  - o If so, provide a detailed narrative discussion of all material facts necessary to identify the potential conflicts of interest and the effects they may have on the Plan.

    N/A