

Securities and Exchange Commission  
Washington, D.C. 20549  
Form SCI



SCI- { name } -YYYY-####  
Update No.: \_\_\_\_\_

SCI Notification and Reporting by: {SCI entity name}  
Pursuant to Rule 1000(b) of Regulation SCI under the Securities Exchange Act of 1934

Section 1

**Commission Notification of SCI Event – Rule 1000(b)(4)**

(b)(4)(ii) Notification of SCI event                       (b)(4)(iii) Update notification of SCI event

SCI event type(s):    Systems compliance issue     Systems intrusion     Systems disruption

Is the event a systems disruption that the SCI entity reasonably estimates would have a material impact on its operations or on market participants? Yes/No

If yes, has the Commission been notified of the SCI event? Yes/No

Has the SCI event been resolved? Yes/No

Date/time SCI event started:    *mm/dd/yyyy*    *hh:mm am/pm*:

Duration of SCI event:    *hh:mm*, or *days*

Date/time responsible SCI personnel became aware of the SCI event:    *mm/dd/yyyy*    *hh:mm am/pm*

Estimated number of market participants impacted by the SCI event: (numeric field)

*(Additional information for Section 1 continued on following page)*

Section 2

**Other Commission Notification and Reporting**

Rule 1000(b)(6) Notification of planned material systems change    Date of planned change: *mm/dd/yy*

Do exigent circumstances exist, or has the information previously provided to the Commission regarding any planned material systems change become materially inaccurate? Yes/No

If yes, has the Commission been notified orally? Yes/No

Rule 1000(b)(8)(i) Report of SCI review

Date of completion of SCI review:    *mm/dd/yyyy*

Date of submission of SCI review to senior management:    *mm/dd/yyyy*

Rule 1000(b)(8)(ii) Semi-annual report of material systems changes

Rule 1000(b)(9)(iii) Notification of designations and standards under Rule 1000(b)(9)

Section 1  
(cont.)

**Rule 1000(b)(4) (continued)**

System Type Impacted	Production	Development	Testing
Trading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clearance and Settlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Order Routing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Market Data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surveillance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any system that shares network resources with any system listed above that, if breached, would be reasonably likely to pose a security threat to such system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Systems Disruption in SCI Systems Resulting in:	Check all that apply
Failure to maintain service level agreements or constraints	<input type="checkbox"/>
Disruption of normal operations, including switchover to back-up equipment with near-term recovery of primary hardware unlikely	<input type="checkbox"/>
Loss of use of any such system	<input type="checkbox"/>
Loss of transaction or clearance and settlement data	<input type="checkbox"/>
Significant back-ups or delays in processing	<input type="checkbox"/>
Significant diminution of ability to disseminate timely and accurate market data	<input type="checkbox"/>
Queuing of data between system components or queuing of messages to or from customers of such duration that normal service delivery is affected	<input type="checkbox"/>

For complete Form SCI instructions please refer to [●]

Section 3

<p><b>Exhibit 1:</b> <b>Rule 1000(b)(4)(ii)</b> <b>Notification of SCI Event</b> Add/Remove/View</p>	<p>The SCI entity shall include:</p> <p><b>Part 1:</b> All pertinent information known about the SCI event, including: (1) a detailed description of the SCI event; (2) the SCI entity’s current assessment of the types and number of market participants potentially affected by the SCI event; (3) the potential impact of the SCI event on the market; and (4) the SCI entity’s current assessment of the SCI event, including a discussion of the determination of whether the SCI event is a dissemination SCI event or not.</p> <p><b>Part 2:</b> To the extent available as of the time of the notification: (1) a description of the steps the SCI entity is taking, or plans to take, with respect to the SCI event; (2) the time the SCI event was resolved or timeframe within which it is expected to be resolved; (3) a description of the SCI entity’s rule(s) and/or governing document(s), as applicable, that relate to the SCI event; and (4) an analysis of parties that may have experienced a loss, whether monetary or otherwise, due to the SCI event, the number of such parties, and an estimate of the aggregate amount of such loss.</p>
<p><b>Exhibit 2:</b> <b>Rule 1000(b)(4)(iii)</b> <b>Update Notification of SCI Event</b> Add/Remove/View</p>	<p>The SCI entity shall provide an update of any information previously provided regarding the SCI event on Exhibit 1, including any information under Part 2 of Exhibit 1 which was not available at the time of submission of Exhibit 1. Subsequent updates shall update any information provided regarding the SCI event until the SCI event is resolved.</p>
<p><b>Exhibit 3:</b> <b>Information Disseminated</b> Add/Remove/View</p>	<p>The SCI entity shall attach a copy in pdf or html format of any information disseminated to date regarding the SCI event to its members or participants or on the SCI entity’s publicly available website.</p>
<p><b>Exhibit 4:</b> <b>Rule 1000(b)(6)</b> <b>Notification of Planned Material System Changes</b> Add/Remove/View</p>	<p>The SCI entity shall, absent exigent circumstances, notify the Commission in writing at least 30 calendar days before implementation of any planned material systems change, including a description of the planned material system changes as well as the expected dates of commencement and completion of implementation of such changes. If exigent circumstances exist, or if the information previously provided to the Commission regarding any planned material system change has become materially inaccurate, the SCI entity shall notify the Commission, either orally or in writing, with any oral notification to be memorialized within 24 hours after such oral notification by a written notification, as early as reasonably practicable.</p>
<p><b>Exhibit 5:</b> <b>Rule 1000(b)(8)(i)</b> <b>Report of SCI Review</b> Add/Remove/View</p>	<p>Within 60 calendar days after its submission to senior management of the SCI entity, the SCI entity shall attach the report of the SCI review of the SCI entity’s compliance with Regulation SCI, together with any response by senior management.</p>
<p><b>Exhibit 6:</b> <b>Rule 1000(b)(8)(ii)</b> <b>Semi-Annual Report of Material Systems Changes</b> Add/Remove/View</p>	<p>Within 30 calendar days after the end of June and December of each year, the SCI entity shall attach the report containing a summary description of the progress of any material systems change during the six-month period ending on June 30 or December 31, as the case may be, and the date, or expected date, of completion of implementation of such changes.</p>
<p><b>Exhibit 7:</b> <b>Rule 1000(b)(9)(iii)</b> <b>Notification of Designations and Standards under Rule 1000(b)(9)</b> Add/Remove/View</p>	<p>The SCI entity shall attach: (1) its standards for designating members or participants it deems necessary, for the maintenance of fair and orderly markets in the event of the activation of its business continuity and disaster recovery plans, to participate in the testing of such plans pursuant to Rule 1000(b)(9)(i); and (2) a list of the designated members or participants, including the name and address of such members or participants.</p>

## Section 4

### Contact Information

Provide the following information for the persons responsible for addressing the SCI event:

#### Systems Personnel:

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
E-Mail: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

#### Regulatory Personnel:

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
E-Mail: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

#### Senior Officer:

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
E-Mail: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

### Additional Contacts (Optional)

#### Systems Personnel:

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
E-Mail: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

#### Regulatory Personnel:

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
E-Mail: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

## Section 5

### Signature

Pursuant to the requirements of the Securities Exchange Act of 1934, { SCI Entity name} has duly caused this notification to be signed on its behalf by the undersigned duly authorized officer:

Date:

By (Name) \_\_\_\_\_ Title (\_\_\_\_\_)

“Digitally Sign and Lock Form”