

NEW YORK STOCK EXCHANGE

OFFICE OF THE SECRETARY

INSTRUCTIONS
To
NEW MEMBERS

ASHBEL GREEN
SECRETARY
FRANCIS T. BOYD
ROBERT L. FISHER
WILLIAM H. MACLAY
JASON WESTERFIELD
DEAN K. WORCESTER
ASST. SECRETARIES

To New Members:-

Members and member firms of the New York Stock Exchange, unless specifically exempted, are required to file with the Exchange certain periodical reports, as follows:

- 1.) Weekly reports on all pools, syndicates and joint accounts trading in specific listed securities and all options relating to listed securities, in which the member or his firm is directly or indirectly interested or of which they have knowledge by reason of transactions executed by or through them.
- 2.) Monthly reports of money borrowed in New York on collateral, including statements of the amounts of United States Government securities pledged in loans; these figures relate only to loans involved in the security business.
- 3.) Monthly reports on customers' debit and credit balances and short positions and on money loaned and borrowed.
- 4.) Monthly reports on new issues held in customers' margin accounts and in firm and general partners' accounts.
- 5.) Monthly reports on short positions in each listed stock for each account or customer.
- 6.) Semi-annual reports on the financial condition of each member or firm carrying margin accounts, such statements to be in the form of answers to the financial questionnaire.
- 7.) Monthly reports on the aggregate dollar amount of sales of securities made on the Exchange and settled by the member or firm; this report is to be accompanied by a check for the Securities and Exchange Commission registration fee.
- 8.) ~~Monthly~~ ^{Weekly} reports covering security transactions executed in the United States for account of "foreigners", security transactions abroad for domestic accounts, transactions in

joint foreign arbitrage accounts in securities, and foreign debit and credit balances.

The first six reports listed above are to be made to the Committee on Business Conduct; the others to the Committee of Arrangements.

You should communicate as soon as possible with the proper Committee if you wish to be exempted from filing any of these reports. If this is not done, you will be expected to file the reports regularly as they are due. If a member or member firm is excused from filing any report, the exemption continues only so long as there is no change in the status of the member or his firm. If there should be any change in the nature of your business which requires the filing of reports from which you had previously been exempted, you will be expected to advise the Exchange of that fact.

Sample forms of reports and instructions in regard thereto are handed you herewith.


Secretary.

NYSE ARCHIVES

NYSE COMMITTEE ON ADJUSTMENTS

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