Consolidated Audit Trail, LLC Advisory Committee

The CAT NMS Plan requires the establishment of an Advisory Committee to advise the SROs on the implementation, operation, and administration of the CAT, including items such as technical specifications, reporting functionality, and the possible expansion of the CAT to other securities.

The SROs have selected the following individuals, as per section 4.13 of the CAT NMS Plan, to serve on the Advisory Committee:

Role	Member	Organization
A broker-dealer with no more than 150 Registered Persons	Savyona Abel	DASH Financial Technologies
A broker-dealer with at least 151 and no more than 499 Registered Persons	Ian Clancy	Northern Trust Securities
A broker-dealer with 500 or more Registered Persons	To Be Determined	N/A
A broker-dealer with a substantial wholesale customer base	Reuben Winitch	Morgan Stanley
A broker-dealer that is approved by a national securities exchange (A) to effect transactions on an exchange as a specialist, market maker, or floor broker or (B) to act as an institutional broker on an exchange	Jeremy Kahn	Jane Street
A proprietary-trading broker-dealer	Michael Lurie	UBS
A clearing firm	Mark Hendrickson	DA Davidson
An individual who maintains a securities account with a registered broker or dealer but who otherwise has no material business relationship with a broker or dealer or with a Participant	To Be Determined	N/A
A member of academia who is a financial economist with expertise in the securities industry or any other industry relevant to the operation of the CAT System	Professor Terrence Hendershott	Berkeley Haas
Three institutional investors, including an individual trading on behalf of an investment company or group of investment companies registered pursuant to the Investment Company Act of 1940	Thomas Coleman	Thompson, Siegel & Walmsley
	Jacki VanMoer	Goldman Sachs
	Melissa Hinmon	Glenmede Investment Management
An individual with significant and reputable regulatory expertise	Gregg Berman	Citadel
A service bureau that provides reporting services to one or more CAT Reporters	Dave Emero	n-Tier