

CAT NMS, 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	Bonnie Wachtel	Wachtel & Wachtel
A broker-dealer with at least 151 and no more than 499 Registered Persons	Judy McDonald	SIG
A broker-dealer with 500 or more Registered Persons	Ronald Veith	J.P. Morgan Chase
A broker-dealer with a substantial wholesale customer base	Gregg Berman	Citadel
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	Casey McMahan	Wolverine Execution Services
A proprietary-trading broker-dealer	Jim Draddy	Jump Trading
A clearing firm	John Lassen	TD Ameritrade
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	Mary Lou Von Kaenel	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 Larry Harris	University of Southern California
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	Allan Goldstein	Trade Informatics
	Brian Frambes	Fidelity
	Mehmet Kinak	T. Rowe Price
An individual with significant and reputable regulatory expertise	David Emero	Goldman Sachs
A service bureau that provides reporting services to one or more CAT Reporters	Jess Haberman	Fidessa