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Clerk of the House of Representatives	Secretary of the Senate
Legislative Resource Center	Office of Public Records
B-106 Cannon Building	232 Hart Building
Washington, DC 20515	Washington, DC 20510

SECRETARY OF THE SENATE
04 SEP 27 PM 3:02

LOBBYING REGISTRATION

Lobbying Disclosure Act of 1995 (Section 4)

Check if this is an Amended Registration ☐ 1. Effective Date of Registration 9/14/2004

2. House Identification Number 312820 Senate Identification Number 29221-12

REGISTRANT

3. Registrant name New York Stock Exchange, Inc.

Address 801 Pennsylvania Avenue, NW, Suite 630

City Washington, DC State Zip 20004

4. Principal place of business (if different from line 3)

City New York State/Zip (or Country) New York/1000

5. Telephone number and contact name

Contact Kevin R. Edgar E-mail (optional) kedgar@

6. General description of registrant's business or activities

CLIENT

A Lobbying firm is required to file a separate registration for each client. Organizations employing in-house lobbyists should che

labeled "Self" and proceed to line 10. ☑ *Self*

7. Client name

Address

City State Zip

8. Principal place of business (if different from line 7)

City State/Zip (or Country)

9. General description of client's business or activities

LOBBYISTS

10. Name of each individual who has acted or is expected to act as a lobbyist for the client identified on line 7. If any in this section has served as a "covered executive branch official" or "covered legislative branch official" within two acting as a lobbyist for the client, *state the executive and/or legislative position(s) in which the person served.*

Name	Covered Official Position (if applicable)
Linda Dallas Rich	Sr. Counsel, House Financial Services Comm

Registrant Name New York Stock Exchange, Inc. Client Name _____

LOBBYING ISSUES

11. General lobbying issue areas. Select all applicable codes listed in instructions and on the reverse side of Form LD-1, p

FIN

12. Specific lobbying issues (current and anticipated)

Legislative and regulatory issues of interest to the NYSE
Securities Market Structure, Self-regulation
NYSE Corporate Governance
NYSE Listed Company Corporate Governance

AFFILIATED ORGANIZATIONS

13. Is there an entity other than the client that contributes more than $10,000 to the lobbying activities of the regi a semiannual period **and** in whole or in major part plans, supervises or controls the registrant's lobbying activit

☑ No ⇨ Go to line 14. ☐ Yes ⇩ Complete the rest of this section for each entity matchi criteria above, then proceed to line 14.

Name	Address	Principal Place of Bus (city and state or coun

FOREIGN ENTITIES

14. Is there any foreign entity that:

a) holds at least 20% equitable ownership in the client or any organization identified on line 13; **or**
b) directly or indirectly, in whole or in major part, plans, supervises, controls, directs, finances or subsi activities of the client or any organization identified on line 13; **or**
c) is an affiliate of the client or any organization identified on line 13 and has a direct interest in the ou of the lobbying activity?

☑ No ⇨ Sign and date the registration. ☐ Yes ⇩ Complete the rest of this section for eac matching the criteria above, then sign a registration.

Name	Address	Principal place of business (city and state or country)	Amount of contribution for lobbying activities

Signature _____ Date 09/14/200

Printed Name and Title Kevin R. Edgar, Special Counsel and Director

Form LD-1 (Rev. 04/03)