

# Information Memo



New York  
Stock Exchange, Inc.

Member Firm Regulation

20 Broad Street  
New York, NY 10005

Number 99-22  
May 12, 1999

**TO: MEMBERS AND MEMBER ORGANIZATIONS**

**ATTENTION: MANAGING PARTNER/CHIEF EXECUTIVE OFFICER/CHIEF  
FINANCIAL OFFICER/CHIEF OPERATIONS OFFICER**

**SUBJECT: REVISED - FOCUS FILING DUE DATES (Effective May 1999  
FOCUS Filing)**

Some Exchange members and member organizations have chosen to file FOCUS Part II or Part IIA as of a date other than the last calendar day of the month or quarter. For members or member organizations electing to do so, the Exchange requires that the FOCUS Report be submitted 17 **business** days from the month-end closing date (the as of date of the FOCUS Report).

For example, for a member or member organization electing the last business Friday of the month as the report date, the FOCUS Report is due 17 **business** days from that date and not 17 **business** days from calendar month-end.

If you have any questions or comments regarding this Information Memo, please contact your Finance Coordinator.

A handwritten signature in black ink, appearing to read "Salvatore Pallante", written over a horizontal line.

Salvatore Pallante  
Senior Vice President