

# Interpretation Memo



New York  
Stock Exchange, Inc.

20 Broad Street  
New York, NY 10005

Member Firm Regulation

Number 94-6  
December 21, 1994

PLEASE ROUTE TO FINANCIAL AND OPERATIONS OFFICER/PARTNERS AND  
COMPLIANCE DEPARTMENT

TO: MEMBERS AND MEMBER ORGANIZATIONS

SUBJECT: SUPPLEMENT TO SEC INTERPRETATION HANDBOOK

The accompanying supplement to the Interpretation Handbook is a new distribution which includes interpretations of the Books and Records Requirements outlined in SEA Rules 17a-3, 17a-4 and 17a-5. These interpretations have not been previously published and should be carefully reviewed before insertion into the handbook. The handbook will be updated as new interpretations are issued.

The staff of the Securities and Exchange Commission has reviewed the Books and Records supplement and has no objection to the published interpretations.

Questions regarding this Interpretation Memo should be directed to your Finance Coordinator.