

Clerk of the House of Representatives  
Legislative Resource Center  
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Washington, DC 20515

Secretary of the Senate  
Office of Public Records  
232 Hart Building  
Washington, DC 20510

SECRETARY OF THE SENATE

03 AUG 13 AM 11:41

**LOBBYING REPORT**

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

1. Registrant Name New York Stock Exchange, Inc.			
2. Address <input type="checkbox"/> Check if different than previously reported 801 Pennsylvania Avenue, NW, Suite 630, Washington, DC 20004			
3. Principal Place of Business (if different from line 2) New York, 10005 City: State/zip (or Country)			
4. Contact Name Kevin R. Edgar	Telephone (202) 347-4300	E-mail (optional) kredgar@nyse.com	5. Senate ID # 29221-12
7. Client Name <input checked="" type="checkbox"/> Self			6. House ID # 312820

**TYPE OF REPORT** 8. Year 2003 Midyear (January 1-June 30) ☒ OR Year End (July 1-Decen

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ ⇨ Termination Date \_\_\_\_\_

11. No Lobbying

**INCOME OR EXPENSES** Complete Either Line 12 OR Line 13

<p><b>12. Lobbying Firms</b></p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> ⇨ \$ _____ Income (nearest \$20,000)</p> <p>Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</p>	<p><b>13. Organizations</b></p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> ⇨ \$ <u>120,000.00</u> Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate exp accounting method. See instructions for description of opti</p> <p><input type="checkbox"/> Method A. Reporting amounts using LDA definitior</p> <p><input type="checkbox"/> Method B. Reporting amounts under section 6033(b) Internal Revenue Code</p> <p><input checked="" type="checkbox"/> Method C. Reporting amounts under section 162(e) Internal Revenue Code</p>
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Signature Kevin R. Edgar Date August 12, 2003  
Printed Name and Title Kevin R. Edgar, Special Counsel & Director-Government Relations

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PAGE 1 of

Registrant Name New York Stock Exchange, Inc. Client Name \_\_\_\_\_

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code ENG (one per page)

16. Specific lobbying issues

S. 14, The Energy Policy Act of 2003, Electricity Title, sections pertaining to market transparency

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. Senate

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Allen "Beau" Greenwood	
Richard Ribbentrop	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature

*Kevin L. Egan*

Date

*August 12, 20*

Printed Name and Title Kevin R. Edgar, Special Counsel & Director-Government Relations 0

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Registrant Name New York Stock Exchange, Inc.

Client Name \_\_\_\_\_

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant is engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page)

## 16. Specific lobbying issues

Securities Market Structure (ie Intermarket Trading System (ITS), Consolidated Tape Association, market data, best execution, self regulation)  
 Nasdaq exchange registration  
 Cincinnati Stock Exchange's "voluntary book" proposal  
 NYSE Rule 500  
 Corporate Governance  
 Implementation of the Sarbanes-Oxley Act of 2002

## 17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. House of Representatives  
 U.S. Senate  
 U.S. Securities and Exchange Commission

## 18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Ananias "Andy" Blocker	
Kevin R. Edgar	
Allen "Beau" Greewood	
Richard Ribbentrop	
Cecile Srodes	
Harry Day	

## 19. Interest of each foreign entity in the specific issues listed on line 16 above

☒ Check if NoneSignature Kevin L. EdgarDate August 12, 2002

Printed Name and Title Kevin R. Edgar, Special Counsel & Director-Government Relations

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Registrant Name New York Stock Exchange, Inc. Client Name \_\_\_\_\_

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page)

16. Specific lobbying issues

Post 9/11/01 issue: NYSE's business continuity planning, physical security, electronic/information security

17. House(s) of Congress and Federal agencies contacted ☐ Check if None

U.S. House of Representatives  
U.S. Senate  
U.S. Department of the Treasury  
U.S. General Accounting Office

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Kevin R. Edgar	
Richard Ribbentrop	

19. Interest of each foreign entity in the specific issues listed on line 16 above ☐ Check if None

Signature

*Kevin R. Edgar*

Date

*August 12, 2001*

Printed Name and Title

Kevin R. Edgar, Special Counsel & Director-Government Relations

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Registrant Name New York Stock Exchange, Inc.

Client Name \_\_\_\_\_

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant was engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code and provide the following information as requested. Attach additional page(s) as needed.

15. General issue area code FIN (one per page)

16. Specific lobbying issues

H.R. 957, The Broker Accountability Through Enhanced Transparency Act

17. House(s) of Congress and Federal agencies contacted

☐ Check if None

18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Cecile Srodes	
Richard Ribbentrop	

19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature

*Kevin R. Deane*

Date

*August 12, 2013*

Printed Name and Title Kevin R. Edgar, Special Counsel & Director-Government Relations

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Registrant Name New York Stock Exchange, Inc.

Client Name \_\_\_\_\_

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code information as requested. Attach additional page(s) as needed.

15. General issue area code TAX (one per page)

## 16. Specific lobbying issues

H.R. 2, The Jobs and Economic Growth Act of 2003  
Sections pertaining to the dividend tax cut

## 17. House(s) of Congress and Federal agencies contacted

☐ Check if None

U.S. House of Representatives  
U.S. Senate

## 18. Name of each individual who acted as a lobbyist in this issue area

Name	Covered Official Position (if applicable)
Ananias "andy" Blocker	.....
Richard Ribbentrop	.....
	.....
	.....
	.....
	.....
	.....

## 19. Interest of each foreign entity in the specific issues listed on line 16 above

☐ Check if None

Signature *Kwame R. Eden* Date *August 12, 2001*

Printed Name and Title

Kevin R. Edgar, Special Counsel & Director-Government Relations

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Registrant Name New York Stock Exchange, Inc. Client Name \_\_\_\_\_

**Information Update Page - Complete ONLY where registration information has changed.**

20. Client new address

21. Client new principal place of business (if different from line 20)

City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_

22. New general description of client's business or activities

**LOBBYIST UPDATE**

23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client

Douglas R. Nappi

**ISSUE UPDATE**

24. General lobbying issues previously reported that **no longer** pertain

**AFFILIATED ORGANIZATIONS**

25. Add the following affiliated organization(s)

Name	Address	Principal Place of Business (city and state or country)

26. Name of each previously reported organization that is **no longer** affiliated with the registrant or client

**FOREIGN ENTITIES**

27. Add the following foreign entities

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

28. Name of each previously reported foreign entity that **no longer** owns, **or** controls, **or** is affiliated with the registrant, **or** is affiliated organization

Signature

*Kevin R. Egan*

Date

*August 12, 2008*

Printed Name and Title Kevin R. Edgar, Special Counsel & Director-Government Relations

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