



# Market Data Resources: NetCoalition I & II and SEC 19(d) Petition

SIFMA's Technology and Regulation Committee

## **Section 19(d) Petition for Review**

- NYSE Arca Response Brief (November 10, 2016)
- NASDAQ Response Brief (November 10, 2016)
- SIFMA Joint Motion to Extend Briefing Schedule and Word Limits (August 30, 2016)
- SIFMA Petition for Review (submitted to the SEC on July 19, 2016)
- SIFMA Statement on NYSE Arca Response (submitted to the SEC on August 1, 2016)

## **SEC 19(d) Petition**

Administrative Proceeding File No. 3-15350

- ALJ Initial Decision (June 1, 2016)
- Exchanges Response to SIFMA Notice of Supplemental Authority (November 30, 2015)
- SIFMA Files Notice of Supplemental Authority (November 25, 2015)
- NYSE Arca Post-Hearing Reply Brief (August 5, 2015)
- NASDAQ Post Hearing Reply Brief (August 5, 2015)
- SIFMA's Post Hearing Brief (July 23, 2015)
- Reply of NYSE Arca in Support of Motion for Sanctions for Discovery Misconduct (June 12, 2015)
- NASDAQ Post-Hearing Brief (June 12, 2015)
- Post-Hearing Brief of NYSE Arca (June 12, 2015)
- Order On Consent Motion Regarding Exhibits Deemed in Evidence (June 5, 2015)
- SIFMA Files Pre-Hearing Brief (March 30, 2015)
- NYSE Arca Files Pre-Hearing Brief (March 30, 2015)
- NASDAQ Files Pre-Hearing Brief (March 30, 2015)
- Expert Report of Bernard Donefer (March 2015)
- Expert Report of Dr. David S. Evans (March 2015)
- Motion for Protective Order Filed by the Exchanges (February 2015)
- Expert Report of Janusz Ordover (January 2015)
- Brief of the Exchanges in Opposition to Application to Quash (January 2015)
- Order on Consent Motion to Extend Pre-hearing Schedule (January 2015)
- Notice on Issuance of Modified Subpoenas (January 2015)
- NYSE Subpoena (January 2, 2015)
- NASDAQ Subpoena (January 2, 2015)
- Exchanges File Request for Subpoena (December 31, 2014)
- NYSE Arca Opposition to SIFMA's Amended Subpoena Request (December 30, 2014)
- NASDAQ Opposition to SIFMA's Amended Subpoena Request (December 29, 2014)
- SIFMA Opposition to Exchanges Request for Modification of Discovery Order ( December 29, 2014)
- SIFMA Submits Notice of Supplemental Authority Regarding SEC Order Denying Consolidating Motions (December 29, 2014)
- Exchanges Letter to SEC (December 24, 2014)
- SIFMA Notice of Request for Modification of December 19, 2014 Order to Conform with Prehearing Conference Record (December 23, 2014)

- [Order from the SEC Denying Consolidation Motions](#) (December 23, 2014)
- [SIFMA Amended Request for Issuance of Subpoenas](#) (December 19, 2014)
- [Order for Prehearing Conference on Subpoenas](#) (December 9, 2014)
- [SIFMA Request for Issuance of Subpoenas](#) (December 4, 2014)
- [Order on Joint Motion to Extend Hearing and Prehearing Schedules](#) (November 21, 2014)
- [SIFMA Files Reply Brief in Support of Consolidation Motion](#) (November 4, 2014)
- [NASDAQ Opposition Brief in Response to SIFMA Motion to Consolidate](#) (October 29, 2014)
- [NYSE Arca Opposition Brief in Response to SIFMA Motion to Consolidate](#) (October 29, 2014)
- [SIFMA Files Reply Brief Regarding Satisfaction of Jurisdictional Requirements](#) (September 2, 2014)
- [NYSE Arca Opposition Brief to SIFMA's Brief Regarding Satisfaction of Jurisdictional Requirement](#) (August 19, 2014)
- [NASDAQ Opposition Brief to SIFMA's Brief Regarding Satisfaction of Jurisdictional Requirement](#) (August 18, 2014)
- [SEC Order Establishing Procedures and Referring Applications for Review to Administrative Law Judge for Additional Proceedings](#) (May 19, 2014)
- [NYSE, NYSE Arca and NYSE MKT Response to Order Regarding Preliminary Matters](#) (August 30, 2013)
- [SIFMA Consolidated Brief in Response to Order Regarding 19\(d\) Procedures](#) (August 30, 2013)
- [Exchanges Brief in Response to Procedures to be Adopted in Proceedings](#) (August 30, 2013)
- [SIFMA Application for an Order Setting Aside Rule Changes of Certain SROs Limiting Access to Their Services](#) (June 17, 2013)
- [Application for an Order Setting Aside Rule Changes of NYSE Arca, Inc.](#) (May 31, 2013)

### **NetCoalition II**

*SIFMA and NetCoalition v. SEC, US Court of Appeals (D.C. Circuit)*

- [Final Decision](#) (April 30, 2013)
- [Reply Brief of Petitioners](#) (March 22, 2012)
- [Intervenors Final Brief](#) (March 22, 2012)
- [Opening Brief of Petitioners](#) (March 22, 2012)
- [28\(j\) Responses](#) (February 23, 2012)
- [Intervenors 28\(j\) Letter](#) (February 17, 2012)
- [SIFMA - NetCoalition v SEC II: Final Brief of Respondent](#) (December 16, 2011)

### **NetCoalition I**

*SIFMA and NetCoalition v. SEC, US Court of Appeals (D.C. Circuit)*

- [SIFMA - NetCoalition v SEC: Final Decision, August 6, 2010](#)
- [SIFMA - NetCoalition v SEC: Reply Brief of Petitioners](#) (January 4, 2010)
- [SIFMA - NetCoalition v SEC: Intervenors Final Brief](#) (January 4, 2010)
- [SIFMA - NetCoalition v SEC: Brief of Respondent](#) (January 4, 2010)
- [SIFMA - NetCoalition v SEC: Brief of Petitioners](#) (January 4, 2010)