



Regulatory Notice 21-04

DATE: March 5, 2021
TO: All Members of MEMX LLC
FROM: MEMX Regulation
RE: CAT Clock Synchronization Certification Reminder - Due March 15th

Per the Exchanges' Consolidated Audit Trail ("CAT") Compliance Rules, Industry Members must complete an annual certification for Business Clock Synchronization by March 15th of each year. An updated clock synchronization certification form is available via this [link](#).

Please note that Industry Members are not required to submit their certifications to MEMX. Instead, originals of certifications must be maintained by Industry Members as part of their books and records and be available to regulators upon request. Industry Members who are members of multiple exchanges and/or FINRA need only make a single clock synchronization certification.

For more information on clock synchronization, see the [Clock Synchronization](#) page of the CAT website and [Section R of the FAQs](#). Also see [CAT Alert 2020-02](#), as updated on October 19, 2020, which provides information regarding the current clock synchronization standards and the standards for self-reporting deviations. Please contact the FINRA CAT Helpdesk at help@finracat.com or 888.696.3348 with any questions related to this content.

In addition, refer to Rule 4.6 of the [MEMX Rulebook](#) in reference to the Consolidated Audit Trail – Clock Synchronization.

Additional Information

For questions or inquiries regarding regulatory matters, please contact MEMX Regulation: regulation@memx.com.

For MEMX rule interpretations, please contact: reginterps@memx.com.