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UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

In The Matter of the Application of:

SECURITIES INDUSTRY AND FINANCIAL
MARKETS ASSOCIATION

for Review of Actions Taken by Self-Regulatory
Organizations

Admin. Proc. File No. 3-15350

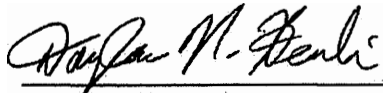
The Honorable Brenda P. Murray,
Chief Administrative Law Judge

**JOINT SUBMISSION BY SECURITIES INDUSTRY AND FINANCIAL MARKETS
ASSOCIATION, NYSE ARCA, INC. AND THE NASDAQ STOCK MARKET LLC
REGARDING IN RE: PENDING ADMINISTRATIVE PROCEEDINGS, SECURITIES
ACT OF 1933 RELEASE NO. 10440, SECURITIES EXCHANGE ACT OF 1934
RELEASE NO. 82178, INVESTMENT ADVISORS ACT OF 1940 RELEASE NO. 4816,
AND INVESTMENT COMPANY ACT OF 1940 RELEASE NO. 32929 (NOVEMBER 30,
2017)**

The Securities Industry and Financial Markets Association, NYSE Arca, Inc., and the Nasdaq Stock Market LLC (the “Parties”) make this joint submission regarding *In Re: Pending Administrative Proceedings*. Securities Act Of 1933 Release No. 10440, Securities Exchange Act Of 1934 Release No. 82178, Investment Advisors Act Of 1940 Release No. 4816, and Investment Company Act Of 1940 Release No. 32929 (November 30, 2017) (the “Order”).

The Order (i) ratified the appointment of five ALJs (including the Chief ALJ) and (ii) remanded a list of proceedings specified in Exhibit A to the Order to their respective ALJs. See Order at 1-2. This proceeding was listed on Exhibit A to the Order. With respect to proceedings listed on Exhibit A to the Order, each ALJ was directed to issue “an order granting parties until January 5, 2018 to submit any new evidence the parties deem relevant to the [ALJ]’s reexamination of the record” Order at 2.

The Parties make this joint submission to inform Your Honor that none of the Parties intends to submit new evidence in this proceeding and to request that Your Honor undertake the other tasks set forth in the Order without reopening the record in this proceeding.



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Respectfully submitted,



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Dated: December 14, 2017e

CERTIFICATE OF SERVICE

I hereby certify that on December 14, 2017, I caused a copy of the foregoing Joint Submission by the Securities Industry and Financial Markets Association, NYSE Arca, Inc., and the Nasdaq Stock Market LLC Regarding *In Re: Pending Administrative Proceedings*, Securities Act Of 1933 Release No. 10440, Securities Exchange Act Of 1934 Release No. 82178, Investment Advisors Act Of 1940 Release No. 4816, and Investment Company Act Of 1940 Release No. 32929 (November 30, 2017) to be served on the parties listed below as follows:

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