

Information Memo

New York Stock Exchange, Inc.
20 Broad Street
New York, NY 10005

Member Firm Regulation



Number 04-7
February 6, 2004

ATTENTION: MANAGING PARTNER, CHIEF EXECUTIVE OFFICER, BRANCH OFFICE MANAGERS, COMPLIANCE OFFICER, TRAINING AND HR DIRECTORS

TO: ALL MEMBERS AND MEMBER ORGANIZATIONS

SUBJECT: INDUSTRY QUALIFICATION EXAMS AND CONTINUING EDUCATION REGULATORY ELEMENT NOW AVAILABLE AT PEARSON VUE PROFESSIONAL CENTERS

The securities industry qualification exams and the Regulatory Element Continuing Education programs are now being administered at Pearson VUE Professional Centers, in addition to Prometric Testing Centers. The addition of Pearson VUE Professional Centers provides 202 additional centers where candidates may take their qualification exams and CE programs.

Securities industry candidates may schedule appointments at the Pearson VUE Professional Centers by calling (866) 396-6273.

Candidates have the option to schedule their industry exams or continuing education sessions at any Pearson VUE Professional Center or at any Prometric Testing Center. A list of locations for both vendors is available on the Securities Industry/Regulatory Council on Continuing Education at www.securitiescep.com.

Please note that the Regulatory Element Supervisors Program (S201) will be available at all Pearson VUE Professional Centers by early February. Candidates wishing to schedule an S201 session at a Pearson VUE Professional Center are advised to check availability with the Pearson VUE Registration Center. The S201 has been and will continue to be available at all Prometric Testing Centers.

Any questions relating to this memorandum may be directed to Tina Freilicher, Director of Testing Standards at (212) 656-2741 or Roni Meikle, Manager of Continuing Education at (212) 656-2156.

Salvatore Pallante
Executive Vice President