

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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 CITY OF PROVIDENCE, RHODE ISLAND, :
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 Plaintiff, :
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 v. :
 :
 BATS GLOBAL MARKETS et al., :
 :
 Defendants. :
 :
 -----X

14-CV-2811 (JMF)

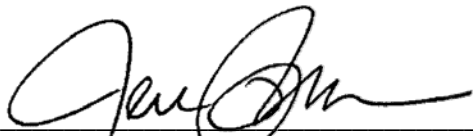
ORDER

JESSE M. FURMAN, United States District Judge:

Attached to this Order is a copy of the letter that the Court sent today to the Securities and Exchange Commission.

SO ORDERED.

Dated: January 29, 2020
New York, New York



JESSE M. FURMAN
United States District Judge

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
500 PEARL STREET
NEW YORK, NEW YORK 10007



CHAMBERS OF
JESSE M. FURMAN
UNITED STATES DISTRICT JUDGE

January 29, 2020

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Robert Stebbins, General Counsel
Office of the General Counsel
United States Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549
202-551-5100
stebbinsr@sec.gov

Dear Mr. Stebbins,

In *City of Providence, Rhode Island v. BATS Global Markets, Inc.*, 14-CV-2811 (JMF), over which this Court is presiding, there is a pending dispute between the parties concerning the terms of an order governing production of electronically stored information held by the Defendant Exchanges. The nature of the dispute is set forth in detail in the parties' letters to the Court, copies of which are enclosed for your consideration. As you will see from those letters, the dispute concerns whether Plaintiffs should be required to store certain data to be produced by the Defendant Exchanges on a system that fully complies with NIST Security and Privacy Controls for Federal Information Systems and Organizations (Special Publication 800-53 Rev. 4). That dispute appears to turn on, among other things, the applicability of the SEC's Regulation Systems Compliance and Integrity ("Reg SCI") and the adequacy of International Standards Organization ("ISO") 27001 certification.

Given the technical nature of the parties' dispute and each side's invocation of SEC guidance on these matters, the Court would be interested in hearing the views of the SEC Staff. If you could send the Court a letter (to be publicly docketed) setting forth the SEC Staff's views on the parties' dispute — including but not limited to whether Reg SCI applies to the data to be produced and the adequacy of ISO 27001 certification — the Court would be grateful. In light of pending discovery deadlines in the case, the Court would be grateful for a prompt reply — ideally on or before February 5, 2020. (To expedite delivery, the Court would ask you to email a copy of the letter to Furman_NYSDChambers@nysd.uscourts.gov.)

If you need any further information or have any questions, please contact the Court in writing.

Sincerely,

A handwritten signature in blue ink, appearing to read "Jesse M. Furman", written over a blue circular stamp.

Jesse M. Furman
United States District Judge

Encl.: ECF Nos. 381, 384, 386, and 387
cc (by ECF and without enclosures): Counsel of Record