



**BROKER-DEALER REQUEST FOR  
OFF-FLOOR TRANSFER OF POSITIONS**

**Broker-Dealer (Firm or Nominee):** \_\_\_\_\_

Pursuant to NYSE Arca, Inc. Rule 6.78(d)(2), the broker-dealer identified above intends to transfer certain securities positions from one trading account to another account in a manner other than trading on the floor of a national securities exchange. The broker-dealer hereby requests the NYSE Arca, Inc. approval to transfer securities positions off the floor of the Exchange from one account to another as follows:

<b>Proposed Transfer Date:</b>	
<b>Briefly explain the purpose of this Position Transfer:</b>	
<b>Option or Stock Symbols of the positions to be transferred:</b>	

The accounts and broker-dealers owning and controlling the accounts involved in this position transfer include:

<b>Positions will be transferred From Account #</b>	
Owned/Controlled by: (Name of Broker-Dealer)	
<b>Positions will be transferred To Account #</b>	
Owned/Controlled by: (Name of Broker-Dealer)	

The net effect on **open interest** as a result of this transfer in securities positions will be:

<input type="checkbox"/> No effect on open interest	Approximately _____ % effect on open interest
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If all ownership and control of the transferred positions will be relinquished to a person or entity that is not a registered broker-dealer, the broker-dealer should not use this form. The broker-dealer should submit a separate written request to the Financial & Operational Compliance Department.

*The undersigned hereby represents that the information contained herein is true, correct and complete.*

\_\_\_\_\_  
Print Name of Authorized Person

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Submit this form to:** NYSE Arca, Inc., Attn: Equity and Options Examinations, 100 South Wacker, Suite 1500, Chicago, IL 60606, Fax (312) 442-7778

Approved by: \_\_\_\_\_ on \_\_\_\_\_

