



ANNUAL COMPLIANCE ACKNOWLEDGEMENT FORM

Broker-Dealer: _____ **SEC File# 8-** _____

As an OTP Holder/Firm or ETP Holder of the NYSE Arca, Inc., the registered Broker-Dealer identified above agrees to abide by the Bylaws, Constitution and Rules of the Exchange and to all Federal laws applicable to the Broker-Dealer's securities business. Each year, pursuant to NYSE Arca, Inc. Rule 11.3 and NYSE Arca Equities, Inc. Rule 6.3, the Exchange requires Broker-Dealers for whom the NYSE Arca, Inc. is the Designated Examining Authority ("DEA") to attest to their compliance with certain SEC and NYSE Arca, Inc. rules. This acknowledgement form must be completed by an executive officer, director, general partner, managing member, or Associated Person primarily responsible for ensuring that the Broker-Dealer adheres to all Federal securities laws and Exchange rules applicable to its business. *This form should be completed in full and filed with the firm's NYSE coordinator seventeen (17) business days after the calendar year end.* Note that an Associated Person includes all employees, officers, principals, anyone who is engaged in trading-related activity, and any person directly or indirectly controlling, controlled by or under common control with the Broker-Dealer.

1. ITSFEA Compliance Acknowledgement	
In accordance with the Insider Trading and Securities Fraud Enforcement Act of 1988 ("ITSFEA"), the Broker-Dealer understands that it is a violation of Federal securities law for an individual to capitalize on material, non-public information in his/her possession by trading in related securities or by disclosing such information to others for making securities transactions.	Read, Understood & Agreed _____ (Initials)
All persons associated with the Broker-Dealer have been advised in writing that they are prohibited from buying or selling the securities of a publicly-traded corporation, including options or other derivative securities, if the Broker-Dealer or the Associated Person possesses material, non-public information about the corporation and its securities.	Read, Understood & Agreed _____ (Initials)
The Broker-Dealer has established written policies and procedures designed to prevent the misuse of material, non-public information by the Broker-Dealer and/or its Associated Persons.	Read, Understood & Agreed _____ (Initials)
The Broker-Dealer has designated an individual to be responsible for implementing and supervising ITSFEA policy and procedures, including the regular review of suspicious activity in the Broker-Dealer's proprietary accounts, error accounts, and all outside brokerage securities accounts held by Associated Persons. Any securities transactions involving the possible misuse of material, non-public information that were detected by the Broker-Dealer or its Associated Persons have been reported to the NYSE Arca, Inc. Surveillance Department.	Read, Understood & Agreed _____ (Initials)
All NYSE Arca, Inc. DEA Broker-Dealers must submit a list of Outside Brokerage Accounts held by Associated Persons to the Exchange on an annual basis.	
[] Attached is a current list of all outside brokerage accounts held by the Broker-Dealer's Associated Persons	

2. Supervisory System Acknowledgement	
No NYSE Arca, Inc. Broker-Dealer may engage in conduct that is a violation of SEC or NYSE Arca, Inc. rules and regulations. Every NYSE Arca, Inc. Broker-Dealer must have a system in place to supervise all activities and Associated Persons.	Read, Understood & Agreed _____ (Initials)
In accordance with NYSE Arca, Inc. Rules 11.3, 11.18 and 11.19, or NYSE Arca Equities, Inc. Rules 6.3, 6.17 and 6.18, the Broker-Dealer has established, maintained and enforced a supervisory system and written supervisory procedures reasonably designed to ensure compliance with Federal securities law and all Exchange rules that are applicable to the Broker-Dealer's business.	Read, Understood & Agreed _____ (Initials)
Print Name of Person(s) responsible for the Broker-Dealer's written policies and procedures:	
3. Statutory Disqualification Notice	
The SEC or the NYSE Arca, Inc. may sanction a Broker-Dealer and its Associated Persons based on a statutory disqualification in accordance with the International Securities Enforcement Cooperation Act of 1990. The Act defines a statutory disqualification to include, among other things, any felony conviction occurring in the U.S. within the last 10 years, and any substantially equivalent crimes in foreign countries, any suspension from membership in a self-regulatory organization ("SRO"), any misdemeanor conviction involving securities or the misappropriation of funds, and any willful violation of Federal securities or commodities law.	Read, Understood & Agreed _____ (Initials)
<input type="checkbox"/> The Broker-Dealer employs <u>no</u> statutorily disqualified persons. <input type="checkbox"/> The Broker-Dealer does employ a person (or persons) subject to statutory disqualification, namely: _____	
4. Primary Business Attestation	
All Broker-Dealers for whom the NYSE Arca, Inc. is the DEA must file a written attestation of their primary business activity. Exchange rules define the term "primary business" to mean greater than 50% of a Broker-Dealer's business activities.	Read, Understood & Agreed _____ (Initials)
The primary business of the Broker-Dealer includes the following (check one only):	
<input type="checkbox"/> ETP Holder / ArcaEx Market Maker <input type="checkbox"/> Options Market Maker <input type="checkbox"/> Options Floor Broker	<input type="checkbox"/> ETP Holder / Proprietary Trader-Dealer <input type="checkbox"/> Order Service Firm <input type="checkbox"/> Inactive Seat Lessor / Owner



EXECUTION: On behalf of the Broker-Dealer, the undersigned hereby represents that the information contained herein and attached hereto is true, correct and complete. The undersigned understands that any willful misstatement of material facts or any willful omission of material facts constitutes a violation of NYSE Arca, Inc. Rule 11.2(c) and/or NYSE Arca Equities, Inc. Rule 6.2(c).

Print Name of Authorized Person

Title

Signature

Date

Submit this form to: NYSE Arca, Inc., c/o FINRA, Attn: [Firm's Regulatory Coordinator], 20 Broad Street, 21st Floor, New York, NY 10005, Fax (646) 315-8781