



FINANCIAL ARRANGEMENT DISCLOSURE FORM

OTP/ETP Holder/Firm: \_\_\_\_\_ SEC Number: 8-\_\_\_\_\_

Pursuant to NYSE Arca, Inc. Rule 11.11 and NYSE Arca Equities, Inc. Rule 6.11, an OTP Holder/Firm or ETP Holder that enters into a financial arrangement with any other person or entity shall disclose to the Exchange the identity of such person or entity and the terms of the arrangement. A financial arrangement is defined as:

- (1) the direct financing of a broker-dealer’s dealings upon the Exchange; or,
(2) any direct equity investment or profit sharing arrangement; or,
(3) any consideration over the amount of \$5,000.00, including, but not limited to, gifts, loans, annual salaries or bonuses.

Broker-dealers have a continuing obligation to notify the Exchange of the initiation, modification or termination of their financial arrangements within ten (10) business days of the effective date of such arrangements.

DISCLOSURE: Effective \_\_\_\_\_ (date), the OTP/ETP Holder/Firm identified above has [ ] initiated / [ ] modified / [ ] terminated the following financial arrangement(s):

- Type: [ ] Direct Financing [ ] Profit Sharing
[ ] Direct Equity Investment [ ] Consideration over \$5,000

Terms of Arrangement (include the names of all participants and general terms of the arrangement):

Table with 5 empty rows for terms of arrangement.

Attach supporting documentation or additional pages as needed.

EXECUTION: On behalf of all parties involved, I hereby represent that the information contained herein is true, correct, and complete. I understand that failure to disclose financial arrangements to the NYSE Arca, Inc., pursuant to NYSE Arca, Inc. Rule 11.11 or NYSE Arca Equities, Inc. Rule 6.11, may result in disciplinary action.

Print Name of Authorized Person

Title

Signature

Date



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