



NOTIFICATION OF ELECTRONIC STORAGE MEDIA

Broker-Dealer: _____

SEC Number: 8-_____

Broker-dealers that employ electronic storage media to maintain and preserve records required by the Securities Exchange Act of 1934 (“Exchange Act”) Rules 17a-3 and 17a-4 must notify their Designated Examining Authority (“DEA”) prior to employing electronic storage media pursuant to Exchange Act Rule 17a-4(f)(2).

Options Trading Permit (“OTP”) Holders/Firms and Equity Trading Permit (“ETP”) Holders for which the NYSE Arca, Inc. (the “Exchange”) is the DEA must provide to the Exchange their own representation or a representation from the storage medium vendor or other third party with appropriate expertise that the selected storage media meets the conditions set forth in Exchange Act Rule 17a-4(f)(2).

DISCLOSURE: The broker-dealer, identified above, employs electronic storage media to maintain and preserve records required by Exchange Act Rules 17a-3 and 17a-4.

Please provide a description of the electronic storage media in the space provided below. Include additional pages as necessary.

I represent that the electronic storage media meets the requirements of Exchange Act Rule 17a-4(f)(2), including the fact that it:

- Preserves the records exclusively in a non-rewriteable, non-erasable format;
- Verifies automatically the quality and accuracy of the storage media recording process;
- Serializes the original and, if applicable, duplicates units of storage media, and time-dates for the required period of retention the information placed on such electronic storage media; and
- Has the capacity to readily download indexes and records preserved on the electronic storage media to any medium acceptable under Exchange Act Rule 17a-4(f) as required by the Securities and Exchange Commission or the NYSE Arca, Inc.

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