



Notice Pursuant to SEC Rule 17a-5(f)(2)

The registered broker-dealer named below is required by SEC Rule 17a-5(d) to file annual audited financial statements. This notice identifies the existence of an agreement between the broker-dealer and an independent public accountant and/or accounting firm. The agreement between the parties includes a commitment from the accountant and/or accounting firm to conduct the broker-dealer's annual audit as of the audit date indicated.

Broker-Dealer		Broker-Dealer's Independent Public Accountant	
Legal Name:		Legal Name:	
Main Address:		Main Address:	
Telephone #:		Telephone #:	
SEC File #: 8-		Audit Date:	
Fiscal Year End:	<input type="checkbox"/> Audit for _____ (Year) Only	<input type="checkbox"/> Yearly Audits Anticipated	

This notice must be filed no later than **December 10** of each year with (1) the SEC's principal office in Washington, D.C., (2) the SEC regional or district office for the region or district in which the broker-dealer's principal place of business is located, and (3) the NYSE Arca, Inc. (the broker-dealer's designated examining authority). If the agreement with the independent public accountant provides for successive annual audits, yearly notification is not required.

Submitted by the undersigned authorized officer/principal of the broker-dealer:

Print Name

Title

Signature

Date

- Submit this notice to:**
- (1) NYSE Arca, Inc., c/o FINRA, Attn: [Firm's Regulatory Coordinator], 20 Broad Street, 21st Floor, New York, NY 10005, Fax (646) 315-8781
 - (2) Securities & Exchange Commission
Attn: Market Regulation
450 5th Street, N.W.
Washington, DC 20549
 - (3) Securities & Exchange Commission
Attn: Market Regulation
5670 Wilshire Boulevard, 11th Floor
Los Angeles, CA 90036-3648