NYSE Arca

OUTSIDE BROKERAGE SECURITIES ACCOUNT ID FORM

Please list all outside brokerage securities accounts in which you, as an Associated Person[1] of a registered broker-dealer, have a direct or indirect financial interest OR make investment decisions.

NYSE Arca, Inc. Broker-Dealer: _____

Name of Associated Person: _____

Title/Position: _____ **Date:** _____

[ ] I, as an Associated Person, have NO outside brokerage securities accounts.

Name on Account	Account #	Type of Account	Name of Brokerage Firm

Corporate Insider[2]? ☐ **Yes** ☐ **No**

Signature: _____ **Date:** _____

Note: The activity in outside brokerage accounts should be reviewed at least quarterly by the appropriate firm personnel under Exchange Rules. Copies of all trade confirmations and account statements must be forwarded to and retained by the broker-dealer for 3 years, the first 2 years in an easily accessible place. Any changes made to the above list of accounts should be reported to the broker-dealer within 10 business days of the effective date of change.

1. Associated Person includes a person who is a partner, officer, director, member of a limited liability company, trader, or employee of a broker-dealer, or any person directly or indirectly controlling, controlled by or under common control with the broker-dealer.

2. An Associated Person (or other person in whose account an associated person has a direct or indirect financial interest or over whose account an associated person makes investment decisions) is considered to be a "corporate insider" if they are an officer, director or 10% shareholder of any class of equity security of a company whose shares are publicly traded.