

August 30, 2019 WB-19-35

The Bylaws and Rules of NYSE American<sup>SM</sup> Exchange (“Exchange”), in certain specific instances, require the Exchange to provide notice to all NYSE American Trading Permit Firms and American Trading Permit Holders (collectively “ATPs”) and American Trading License Holders (“MTLs”). To satisfy this requirement, a copy of the *Weekly Bulletin*, including a link to *Regulatory Bulletins*, is provided to all ATPs and MTLs on a weekly basis.

Pursuant to Exchange Rules, all ATPs and MTLs are reminded to promptly update home and business mailing address changes, telephone number changes, and e-mail address changes in WebCRD. Billing address changes should be sent to [crs@nyse.com](mailto:crs@nyse.com).

## ATP POSTINGS

The following applicants have applied for ATP status at the Exchange and are being posted for a period of seven business days, during which time interested ATPs may submit written comments with respect to the qualifications of the applicants. Admission of applicants will become effective after applicants have been cleared and approved for ATP status pursuant to the policies of the Exchange.

## REPORTS DUE TO THE EXCHANGE

### Focus Report Due Dates – SEC Rules 17a-5(a) & 17a-10

*FOCUS Reports of members for which NYSE Arca, Inc. is the assigned Designated Examining Authority (“DEA”) must be submitted electronically and received by FINRA acting as agent for NYSE Arca Inc. (collectively the “Exchange”) on or before the due dates below:*

**Monthly FOCUS Reports** are due as follows:

**July 2019 Monthly FOCUS Report**  
**Due: Friday, August 23, 2019**

**Quarterly FOCUS Reports** are due as follows:

**3rd Quarter 2019 FOCUS Report**  
**Due: Thursday October 24, 2019**

### Annual Audited Financial Statements – SEC Rule 17a-5(d)

*ATPs and ATIs are reminded to file their Annual Reports with the NYSE Arca Financial & Operational Compliance Department by the following due dates:*

ATPs and ATIs with FYE June 30, 2019.....August 29, 2019

ATPs and ATIs with FYE July 31, 2019 ... September 30, 2019

*Members for which NYSE American is the assigned Designated Examining Authority (“DEA”) are reminded to submit Notices, Material Change Forms and Financial Arrangement Disclosures to the following Address:*

Finra acting as agent for NYSE American  
 Attn: [Firm’s NYSE American Coordinator]  
 One Liberty Plaza  
 165 Broadway, 47<sup>th</sup> Floor  
 New York, NY 10006

*Members for whom NYSE American Inc. is the assigned Designated Examining Authority (“DEA”) are reminded to submit Annual Audit Reports to the Exchange via the FINRA Firm Gateway. For additional information on the electronic submission of Annual Audit Reports please refer to RBO-AMEX-14-10.*

<https://www.nyse.com/publicdocs/nyse/markets/amex-options/rule-interpretations/2014/RBO-Amex-14-10.pdf>

## REGULATORY BULLETINS/NOTICES IN THIS ISSUE

For updated Regulatory Bulletins visit:

<https://www.nyse.com/regulation/rule-interpretations>

## Equities

**APPROVED MTL HOLDERS**  
 (None)

**APPROVED MARKET MAKER/ETP HOLDERS**  
 (None)

**TERMINATED MTL HOLDERS**  
 (None)

Total MKT Equity 133

## Options

**NEWLY APPROVED ATP FIRMS AND HOLDERS\***  
 Manan Chopra - Jump Trading, LLC - Market Maker  
 Yao Wang - Jump Trading, LLC - Market Maker

**TERMINATED ATP HOLDERS**  
 (None)

**CORRECTIONS**  
 (None)

Total ATP Holders 82  
 Total MM/ATP Holder 21

\* for current week (as of 8 a.m. today)

Total MTL & ATP Holders 162  
 Total MTL Only Holders 80  
 Total ATP Only Holders 29