

November 6, 2020 WB-20-45

The Bylaws and Rules of NYSE ArcaSM Exchange ("Exchange"), in certain specific instances, require the Exchange to provide notice to all OTP Firms and OTP Holders (collectively "OTPs") and ETP Holders ("ETPs"). To satisfy this requirement, a copy of the *Weekly Bulletin*, including *Regulatory Bulletins*, is provided to all OTPs and ETPs on a weekly basis.

Pursuant to Exchange Rules, all OTPs and ETPs 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.

OTP POSTINGS

The following applicants have applied for OTP status at the Exchange and are being posted for a period of three business days, during which time interested OTPs 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 OTP 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:

October 2020 Monthly FOCUS Report

Due: Wednesday, November 25, 2020

Quarterly FOCUS Reports are due as follows:

4th Quarter 2020 FOCUS Report

Due: Wednesday, January 27, 2021

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

OTPs and ETPs are reminded to file their Annual Audit Reports by the following due dates:

OTPs and ETPs with FYE September 30, 2020 November 30, 2020

OTPs and ETPs with FYE October 31, 2020 December 30, 2020

Members for whom NYSE ARCA 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-14-12 and RBE-14-04.

<https://www.nyse.com/publicdocs/nyse/markets/arca-options/rule-interpretations/2014/RBO-14-12.pdf>

<https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/rule-interpretations/2014/RBE-14-04.pdf>

Members for whom NYSE ARCA Inc. 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 Arca Inc.

Attn: [Firm's NYSE Arca Coordinator]

One Liberty Plaza

165 Broadway, 47th Floor

New York, NY 10006

Equities

APPROVED ETP HOLDERS

Webull Financial LLC

APPROVED MARKET MAKER/ETP HOLDERS

(None)

TERMINATED ETP HOLDERS

Rosenblatt Securities Inc.

Total ETP Holders 152

Total MM/ETP Holders 37

Options

NEWLY APPROVED OTP FIRMS AND HOLDERS*

(None)

TERMINATED OTP FIRMS AND HOLDERS

James Lamke - Sanford C. Bernstein & Co., LLC - Office Nominee

CORRECTIONS

(None)

Total OTP Holders 70

Total MM/OTP Holders 20

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

Total ETP & OTP Holders 169

Total ETP Only Holders 99

Total OTP Only Holders 17

REGULATORY BULLETINS/NOTICES IN THIS ISSUE

For updated Regulatory Bulletins visit:

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