



FINANCIAL ARRANGEMENT DISCLOSURE FORM

OTP/ETP Holder/Firm:

SEC Number:

Pursuant to NYSE Arca, Inc. Rule 11.11 an OTP Holder/Firm or ETP Holder that enters into a financial arrangement with **any other person or entity** shall disclose to the Exchange the identity of such person or entity and the terms of the arrangement. A financial arrangement is defined as:

- (1) the direct financing of a broker-dealer's dealings upon the Exchange; or,
- (2) any direct equity investment or profit-sharing arrangement; or,
- (3) any consideration over the amount of \$5,000.00, including, but not limited to, gifts, loans, annual salaries or bonuses.

Broker-dealers have a continuing obligation to notify the Exchange of the initiation, modification or termination of their financial arrangements within ten (10) business days of the effective date of such arrangements.

DISCLOSURE: Effective _____ (date), the OTP/ETP Holder/Firm identified above has ☐ **initiated** / ☐ **modified** / ☐ **terminated** the following financial arrangement(s):

Type:

☐ Direct Financing

☐ Profit Sharing

☐ Direct Equity Investment

☐ Consideration over \$5,000

Terms of Arrangement (include the names of all participants and general terms of the arrangement):

Attach supporting documentation or additional pages as needed.

EXECUTION: On behalf of all parties involved, I hereby represent that the information contained herein is true, correct, and complete. I understand that failure to disclose financial arrangements to the NYSE Arca, Inc., pursuant to NYSE Arca, Inc. Rule 11.11 may result in disciplinary action.

Name: _____

Title: _____

Signature: _____

Date: _____

Submit this form to: NYSE Arca, Inc., c/o FINRA: *Contact your Firm's assigned Risk Monitoring Analyst for submission information.*

Revised May 2021