

August 28, 2009 WB-09-17

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

Pursuant to Exchange Rules, all ATPs and ATLs are reminded to promptly report business and mailing address changes, telephone number changes, and e-mail address changes to [crs@nyx.com](mailto:crs@nyx.com) or Client Relationship Services at (888) 689-7739, option 3.

## Equities

### APPROVED ATL HOLDERS

(none)

### APPROVED MARKET MAKER/ETP HOLDERS

(none)

### TERMINATED ATL HOLDERS

(none)

**Total ATL Holders** **200**

## Options

### NEWLY APPROVED ATP FIRMS AND HOLDERS\*

Floor Broker Russell Romaglino of Israel A. Englander & Co., Inc.  
Market Maker Authorized Trader application for Andrew Larsen of IMC-Chicago, LLC  
Market Maker Authorized Trader application for Scott Knudsen of IMC-Chicago, LLC  
Market Maker Authorized Trader application for Ron Gitter of IMC-Chicago

### TERMINATED ATP FIRMS AND HOLDER

(none)

**Total ATP Holders** **126**

**Total MM/ATP Holders** **41**

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

## 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.

RBS Securities Inc.

## REPORTS DUE TO THE EXCHANGE

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

*FOCUS Reports must be submitted electronically and received by the NYSE Amex Financial & Operational Compliance Department on or before the following due dates:*

**Monthly FOCUS Reports** are required from all NYSE Amex Market Makers and NYSE Amex Lead Market Makers:

**April 2009 Monthly FOCUS Report**

**Due: Tuesday May 26, 2009**

**Quarterly FOCUS Reports** are required from all Clearing ATPs and DEA Broker-Dealers subject to the SEC Net Capital Rule:

**2<sup>nd</sup> Quarter 2009 FOCUS Report**

**Due: Friday, July 24, 2009**

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

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

ATPs and ATLs with FYE March 31, 2009 .....June 1, 2009

ATPs and ATLs with FYE April 30, 2009 .....June 29, 2009

ATPs and ATLs are reminded to submit Annual Audited Financial Statements, Material Change Forms, Financial Arrangement Disclosures, and SIPC payments to the following address:

NYSE Euronext  
Attn: [Firm's NYSE Coordinator]  
20 Broad Street, 21<sup>st</sup> Floor  
New York, NY 10005  
Fax: (212) 656-5748

## REGULATORY BULLETINS/NOTICES IN THIS ISSUE

**For updated Regulatory Bulletins visit:**

<http://www.nyse.com/regulation/nysearca/1220033210192.html>

**Total ATL & ATP Holders** **275**  
**Total ATL Only Holders** **149**  
**Total ATP Only Holders** **75**