



# NYSE Arca WEEKLY BULLETIN

March 20, 2009 WB-09-12

The Bylaws and Rules of NYSE Arca<sup>sm</sup> 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 report business, home and mailing address changes, telephone number changes, and e-mail address changes to [crs@nyx.com](mailto:crs@nyx.com) or Client Registration Services at (888) 689-7739, option 3.

## NYSE Arca Equities

### APPROVED ETP HOLDERS

Virtu Financial BD LLC  
Thomas McEntee Sole Proprietor

### APPROVED MARKET MAKER/ETP HOLDERS

Thomas McEntee Sole Proprietor

### TERMINATED ETP HOLDERS

WDG Trading, LLC  
Ferris, Baker Watts, LLC  
Westminster Securities Corp

**Total ETP Holders** 587  
**Total MM/ETP Holders** 52

## NYSE Arca Options.

### NEWLY APPROVED OTP FIRMS AND HOLDERS\*

(none)

### TERMINATED OTP FIRMS AND HOLDERS

(none)

**Total OTP Holders** 105  
**Total MM/OTP Holders** 35

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

**Total ETP & OTP Holders** 91  
**Total ETP Only Holders** 494  
**Total OTP Only Holders** 14

For updated information regarding NYSE Arca Options plan for the OCC Symbology Initiative visit: [www.nyse.com/optionssymbology](http://www.nyse.com/optionssymbology)

### IMM ASSIGNMENTS

IMM assignment for QQQQ: S70 S70-FBCOO 3/23/09 to 03/27/09  
IMM assignment for IWM: H05 A12-HCTAA 03/23/09 to 03/27/09  
For more information visit:  
[http://www.nyse.com/pdfs/Issues\\_No\\_LMM.pdf](http://www.nyse.com/pdfs/Issues_No_LMM.pdf)

### 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.

(none)

### 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 Arca Financial & Operational Compliance Department on or before the following due dates:*

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

**February 2009 Monthly FOCUS Report**  
**Due: Tuesday, March 24, 2009**

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

**1<sup>st</sup> Quarter 2009 FOCUS Report**  
**Due: Friday, April 24, 2009**

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

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

OTPs and ETPs with FYE January 31, 2008 .....April 1, 2009

OTPs and ETPs with FYE February 28, 2009 .....April 29, 2009

OTPs and ETPs 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>