

November 6, 2009 WB-09-45

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 Relationship Services at (888) 689-7739, option 3.

## Equities

### APPROVED ETP HOLDERS

MOG Capital LLC  
Surge Trading, Inc.  
Legend Trading, LLC  
Knight Clearing Services, LLC

### APPROVED MARKET MAKER/ETP HOLDERS

Toro Trading, LLC

### TERMINATED ETP HOLDERS

Raymond James (USA) LTD  
Prebon Financial Products Inc.  
Schonfeld Securities, LLC

### CORRECTIONS

(none)

<b>Total ETP Holders</b>	<b>578</b>
<b>Total MM/ETP Holders</b>	<b>57</b>

## Options

### NEWLY APPROVED OTP FIRMS AND HOLDERS\*

MOG Capital LLC  
Toro Trading, LLC

### TERMINATED OTP FIRMS AND HOLDERS

(none)

<b>Total OTP Holders</b>	<b>111</b>
<b>Total MM/OTP Holders</b>	<b>41</b>

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

<b>Total Both ETP &amp; OTP Holders</b>	<b>96</b>
<b>Total ETP Only Holders</b>	<b>482</b>
<b>Total OTP Only Holders</b>	<b>15</b>

## 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.

[RBC Capital Markets Corp.](#)

## 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:

**October 2009 Monthly FOCUS Report**  
**Due: Tuesday, November 24, 2009**

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

**3<sup>rd</sup> Quarter 2009 FOCUS Report**  
**Due: Friday, October 23, 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 August 31, 2009 ..... October 30, 2009

OTPs and ETPs with FYE September 30, 2009 . November 30, 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>

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