

August 6, 2010 WB-10-31

The Bylaws and Rules of NYSE AmexSM 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.

Equities

APPROVED ATL HOLDERS

(none)

APPROVED MARKET MAKER/ETP HOLDERS

(none)

TERMINATED ATL HOLDERS

(none)

Total ATL Holders	196
Total Amex Reg Only	15
Total Amex Equity	211

Options

NEWLY APPROVED ATP FIRMS AND HOLDERS*

(none)

TERMINATED ATP HOLDERS

(none)

Total ATP Holders	119
Total MM/ATP Holders	42

* 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.

Southwest 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:

July 2010 Monthly FOCUS Report

Due: Tuesday, August 24, 2010

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

2nd Quarter 2010 FOCUS Report

Due: Monday, July 26, 2010

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 May 31, 2010 July 30, 2010

ATPs and ATLs with FYE June 30, 2010 August 31, 2010

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, 21st Floor
 New York, NY 10005
 Fax: (212) 656-5748

Total ATL & ATP Holders	261
Total ATL Only Holders	142
Total ATP Only Holders	65

REGULATORY BULLETINS/NOTICES IN THIS ISSUE

For updated Regulatory Bulletins visit:

http://www.nyse.com/RegulationFrameset.html?displayPage=http://www.nysearca.com/nysearca_reg/regulation_weekly.asp