

September 18, 2009 WB-09-20

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** **202**

## Options

### NEWLY APPROVED ATP FIRMS AND HOLDERS\*

Winged Fox, LLC  
UBS Securities

### TERMINATED ATP FIRMS AND HOLDER

Jason Grossman, Floor Broker, Amerivest Partners, LLC

**Total ATP Holders** **131**  
**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.

(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 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:

#### August 2009 Monthly FOCUS Report

**Due: Tuesday, September 24, 2009**

**Quarterly FOCUS Reports** are required from all Clearing ATPs 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)

*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 July 31, 2009 ..... September 29, 2009

ATPs and ATLs with FYE August 31, 2009 ..... October 30, 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/nysealternextus/1229385624948.html>

**Total ATL & ATP Holders** **280**  
**Total ATL Only Holders** **149**  
**Total ATP Only Holders** **78**