

March 19, 2010 WB-10-11

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).

## Equities

### APPROVED ATL HOLDERS

(none)

### APPROVED MARKET MAKER/ETP HOLDERS

(none)

### TERMINATED ATL HOLDERS

(none)

<b>Total ATL Holders</b>	<b>199</b>
<b>Total Amex Reg Only</b>	<b>12</b>
<b>Total Amex Equity</b>	<b>211</b>

## Options

### NEWLY APPROVED ATP FIRMS AND HOLDERS\*

FB Steven Domenech of Amerivest Partners, LLC

### TERMINATED ATP HOLDERS

Robin Arthur Katz (#32975)  
 Kingswood Investment Group Inc. (33560)  
 Poplar Securities, LLC (129606)  
 FB Charles Goss of Hamilton Executions, LLC

<b>Total ATP Holders</b>	<b>122</b>
<b>Total MM/ATP Holders</b>	<b>45</b>

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

<b>Total ATL &amp; ATP Holders</b>	<b>267</b>
<b>Total ATL Only Holders</b>	<b>145</b>
<b>Total ATP Only Holders</b>	<b>68</b>

## 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.

FB Eric Stein of Montecito Advisors  
 FB Chris Lotito of Montecito Advisors  
 FB Thomas Maloney of Hamilton Executions

## 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:

#### January 2010 Monthly FOCUS Report

**Due: Wednesday, February 24, 2010**

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

#### 1<sup>st</sup> Quarter 2010 FOCUS Report

**Due: Monday, April 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 December 31, 2009 .....March 1, 2010

ATPs and ATLs with FYE January 31, 2010 .....April 1, 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, 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>