



## GENERAL INSTRUCTIONS

### FORM X-17A-19

1. This Form shall be completed and filed within 5 business days of the occurrence of one or more of the changes in membership status listed in Item 2 and/or 3 on this Form or promptly upon learning that such changes will occur. If the information first becomes available after the change in membership status has occurred, the Form shall be completed and filed promptly.
2. Original - Mail to: U.S. Securities and Exchange Commission  
Division of Market Regulation  
100 F Street, N.E.  
Washington, D.C. 20549-6628  
  
Copy No. 1 - Mail to: Securities Investor Protection Corporation  
805 15th Street, N.W., Suite 800  
Washington, D.C. 20005  
  
Copy No. 2: Retain for your files.
3. The original filed with the Securities and Exchange Commission and the copy filed with the Securities Investor Protection Corporation shall be executed with a manual signature by a duly authorized official of the national securities exchange or registered securities association (self-regulatory organization).
4. If the space provided in the Form for an answer to any Item is insufficient, the answer may be printed or typed on a separate insert page or pages which shall be incorporated into the statement by reference thereto in the space provided for the Item.
5. If any Item of the Form is inapplicable, a statement to that effect shall be made following the Item.
6. Change of member's address is required to be reported only by the examining authority.
7. Copies of this Form may be obtained from the main office of the Securities and Exchange Commission in Washington, D.C.
8. The Securities and Exchange Commission will use a copy of this Form to notify Securities Investor Protection Corporation and the affected self-regulatory organizations of any action that is taken.

(ADVISE BROKER-DEALER OF ITS OBLIGATION TO AMEND ITS FORM BD OR FILE FORM BDW)