



**FLOOR BROKER CELLULAR AND WIRELESS
TELEPHONE ATTESTATION (RULES 36.20 - EQUITIES and 36.21- EQUITIES)**

- I, _____ (insert full name of member and badge number), employed by, or associated with [insert firm name]

_____,
 hereby acknowledge that I will be utilizing the following cellular or wireless telephone(s) on the Floor pursuant to Rules 36.20 - Equities and 36.21- Equities, which phone number(s) was (were) separately registered with the NYSE MKT LLC (“NYSE MKT” or “Exchange”) by email dated _____(copy attached):

Phone Number

- I hereby attest that I am aware of and understand the rules governing the use of telephones on the Floor and that I may not employ any alternative cellular or wireless phone (other than the devices as described herein) on the Floor without prior approval of the Exchange.
- As a condition of my use of the above cellular or wireless phone(s) pursuant to Rules 36.20 - Equities and 36.21- Equities, which enables me to receive and send calls on the Floor, I further acknowledge that the Exchange has the

right to request from me, my firm or my portable phone service provider any data and records relating to incoming and outgoing calls that the Regulatory Group deems necessary.

- I also acknowledge that my use of a cellular or wireless phone pursuant to Exchange Rules 36.20 - Equities and 36.21 - Equities must comply with those rules and all other rules, policies, and procedures of both the federal securities laws and the Exchange, including the record retention requirements, as set forth in Exchange Rule 440 - Equities and SEC Rules 17a-3 and 17a-4.
- I also acknowledge that I may not employ any alternative cellular or wireless phone (other than the devices as described herein) on the Floor without prior approval of the Exchange.

* * * *

Please sign and return this document to your firm's compliance department with a copy to _____, _____, 11 Wall Street, 20th Floor, New York, NY 10005.

Print Name: _____

Signed: _____

Date: _____