## SECURITIES AND EXCHANGE COMMISSION ALTERNATIVE TRADING SYSTEM (ATS) SYSTEM ERROR REPORT (ATS FORM 6)

#### **GENERAL INSTRUCTIONS**

- 1. The ATS Form 6 shall be submitted by an operator of the ATS within twenty four (24) hours after system error or upgrade.
- 2. This form shall be signed by the ATS Operator's principal executive officer/president and IT personnel/officer.
- 3. The name of the person who signs this form shall be typed or printed beneath his signature. Any person who occupies more than one of the specified positions shall indicate the capacity in which he signs the registration statement. At least one copy of the documents filed shall be manually signed and the unsigned copies shall be conformed.
- 4. Incorporation by reference

Any information required in the ATS Form may be incorporated by reference by indicating the exhibit number in which the information may be found. Each exhibit should be signed by the authorized officer of the registrant.

#### 5. Exhibits

For each Exhibit, include the name of the applicant/ATS, the date of filing of the Exhibit and the date as of which the information is accurate (if different from the date of the filing). If any Exhibit required is inapplicable, a statement to that effect shall be furnished instead of such Exhibit.

If the applicant/ATS files an amendment to the information provided in its filing and the information relates to an Exhibit filed with the filing of a subsequent amendment, it must provide a description of the change and file a complete and updated Exhibit.

6. Five copies of the complete ATS Form 6 shall be filed, including exhibits and all other papers and documents filed as part thereof.

### **SECURITIES AND EXCHANGE COMMISSION**

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1.	Date o	of occurrence of the error mm - dd - yy	
2.	Please check the appropriate box:		
		the error in the System is major	
		the error in the System is minor	
3.	Provide the following information:		
	3.1	The reason/s for error in the System;	
	3.2	Details of the error in the System;	
	3.3	The effect of the error in the trading activities, rights of subscribers and other aspects of the ATS operation;	
	3.4	Measures undertaken or to be undertaken to avoid the occurrence of the system error.	
4.	Exhibit		
	Submit the following:		
	4.1	A diagram and printed proof of the system error;	
	4.2	Updated system documentation incorporating the correction of the error in the system.	
		<u>SIGNATURE</u>	
	Pursua registra	ant to the requirements of the ATS Rules, this report is signed on behalf of the ant by the undersigned, thereunto duly authorized, in the City ofon, 20	

By:	
	Principal Executive Officer/President
	IT Personnel/Officer
SUBSCRIBED AND SWORN to before me affiant. exhibiting to me his/their Residence on	

**Notary Public**