

RESPONSE TO SPOT CHECK REQUEST

TO: Advertising Regulation Department
FINRA
9509 Key West Avenue
Rockville, MD 20850-3389

FROM: **CRD# 00001**
ABC Brokerage
123 Financial Center
Anytown, USA 00000

Reference: **SR2010-0000-0000**

Please check applicable response(s):

_____ All ETP advertisements, sales literature and institutional sales material used during the time period of November 1, 2009 – May 31, 2010 are attached.

_____ No ETP advertisements, sales literature or institutional sales material of any kind were used during the time period of November 1, 2009 – May 31, 2010.

_____ All ETP advertisements, sales literature or institutional sales material used during the time period of November 1, 2009 – May 31, 2010 were filed with the Advertising Regulation Department, or have been attached.

COMMENTS:

REGISTERED PRINCIPAL'S SIGNATURE: _____

REGISTERED PRINCIPAL'S NAME _____

REGISTERED PRINCIPAL'S TITLE _____

DATE: _____