

RESPONSE TO SPOT CHECK REQUEST

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

FROM: **CRD# XXXXX**
Firm Name
Address

Reference: **SR2011-XXXX-XXXX**

Please check applicable response(s):

_____ All Reverse Convertible Products advertisements, sales literature and/or institutional sales material used during the time period of September 1, 2010 – February 28, 2011 are attached.

_____ No Reverse Convertible Products advertisements, sales literature and/or institutional sales material of any kind were used during the time period of September 1, 2010 – February 28, 2011.

_____ All Reverse Convertible Products advertisements, sales literature and/or institutional sales material used during the time period of September 1, 2010 – February 28, 2011 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: _____