



MEMORANDUM – 2015-001

To : All Trading Participants

Subject : Submission of Data for 2015 Risk Assessment

Date : 05 January 2015

In connection with the risk assessment of all active Trading Participants (“TPs”) by the Capital Markets Integrity Corporation (“CMIC”) for the conduct of the 2015 Annual Regulatory Audit, please complete and submit to CMIC the attached Annex (“A”) on or before 09 January 2015.

For your compliance.

Very truly yours,


CORNELIO C. GISON
President

Broker Name	
Total Collateral Valuation of Customers as of October 31, 2014	
Total Number of Active accounts as of October 31, 2014	

Certified by: _____

Signature over Printed Name/A.P. License No.