

ROSENBLATT SECURITIES INC.

BUSINESS CONTINUITY PLAN (BCP)

VERSION: 1.66

LAST UPDATED: TUESDAY, OCTOBER 19, 2010

BCP PLAN SIGN OFF

We have approved this Business Continuity Plan as reasonably designed to enable our firm to meet its obligations to customers in the event of an SBD.

Joseph Gawronski , President/COO

Date

Richard A. Rosenblatt, CEO

Date

SUMMARY OF UPDATES

CREATION DATE	2004.07.15
PRIOR UPDATED	Thursday, February 21, 2008 at 15:09
LAST UPDATED	Thursday, October 22, 2009 at 15:09
LAST REVIEWED	Monday, October 26, 2009 at 15:15
LAST UPDATED	Tuesday, October 19, 2010

BCP PLAN LOCATIONS

BCP DISCLOSURE STATEMENT	STORAGE LOCATIONS	Primary: (Shared file Server)	G:\projects\BCP\RSIBCPPlanSummary.pdf
		Secondary	http://www.rblt.com/index.shtml?disclosures
		External	Jungle Disk Backup (Backed up to Amazon Cloud)
FULL BCP PLAN	STORAGE LOCATIONS	PRIMARY: (SHARED FILE SERVER)	G:\projects\BCP\bcp_plan_completed.doc
		SECONDARY	http://www.rblt.com/documents/RosenblattBCPPlan.pdf
		EXTERNAL	Jungle Disk Backup (Backed up to Amazon Cloud)

SUPPORTING DOCUMENTATION

CLEARING FIRM (GSEC) BCP PLAN LETTER	STORAGE LOCATIONS	PRIMARY: (SHARED FILE SERVER)	G:\projects\BCP\GSEC\GSbcp_client_exposure.pdf
		SECONDARY	www.rblt.com (accessible by clicking on the disclosures link)
		EXTERNAL	Jungle Disk Backup (Backed up to Amazon Cloud)

UPDATE HISTORY:

DATE	UPDATE SESSION DETAILS	REVISED BY
08/02/05	Initial Plan Creation. This new version of our DR plan implements the NASD BCP	Joseph Gawronski (COO), Ahmed Sako

	template and meets the requirements of NYSE Rule 446 and Information Memo 04-24	(CTO)
08/10/05	First round of updates	Joseph Gawronski (COO), Ahmed Sako (CTO)
02/21/08	Updated	Joseph Gawronski (COO), Raman Kannan (CTO), Anthony Castelli (CO)
10/23/09	Updated	Joseph Gawronski (COO), Raman Kannan (CTO), Anthony Castelli (CO) Charles Roney (CCO)
10/19/10	Updated	Joseph Gawronski (COO), David Torbati (VP), Charles Roney (CCO)

TABLE OF CONTENTS:

BCP PLAN SIGN OFF 2

SUMMARY OF UPDATES 3

BCP PLAN LOCATIONS..... 3

SUPPORTING DOCUMENTATION 3

UPDATE HISTORY:..... 3

I. EMERGENCY CONTACT PERSONS 7

II. FIRM POLICY..... 7

 A. SIGNIFICANT BUSINESS DISRUPTIONS (SBDs)..... 7

 B. APPROVAL AND EXECUTION AUTHORITY 7

 C. PLAN LOCATION AND ACCESS..... 7

III. BUSINESS DESCRIPTION 7

IV. OFFICE LOCATIONS..... 8

 A. OFFICE LOCATION #1 8

 B. OFFICE LOCATION #2 8

 C. OFFICE LOCATION #3 8

V. ALTERNATIVE PHYSICAL LOCATION(S) OF EMPLOYEES 8

VI. CUSTOMERS’ ACCESS TO FUNDS AND SECURITIES..... 8

VII. DATA BACK-UP AND RECOVERY (HARD COPY AND ELECTRONIC) 9

 A. BACKUP POLICY AND APPROACH 9

 B. READ-ONLY SYSTEMS (SPECIAL CASE) 11

 C. IM/E-MAIL ARCHIVING 11

 D. DATA RECOVERY 11

VIII. FINANCIAL AND OPERATIONAL ASSESSMENTS 11

 A. OPERATIONAL RISK 11

 B. FINANCIAL AND CREDIT RISK 11

IX. Mission Critical Systems 12

 A. Our Firm’s Mission Critical Systems 12

 1. Order Taking..... 12

 2. Order Entry..... 12

 3. Order Execution..... 13

 4. Other Services Currently Provided to Customers..... 13

 B. MISSION CRITICAL SYSTEMS PROVIDED BY OUR CLEARING FIRM..... 13

X. Alternate Communications Between the Firm and Customers, Employees, and Regulators..... 14

 A. COMMUNICATION INFRASTRUCTURE 14

 B. CUSTOMERS..... 14

 C. EMPLOYEES..... 14

 D. REGULATORS..... 15

XI. CRITICAL BUSINESS CONSTITUENTS, BANKS, AND COUNTER-PARTIES..... 15

 A. BUSINESS CONSTITUENTS..... 15

 B. BANKS 15

 C. COUNTER-PARTIES 15

XII. REGULATORY REPORTING..... 16

XIII. DISCLOSURE OF BUSINESS CONTINUITY PLAN 16

XIV. UPDATES AND ANNUAL REVIEW 16
A. PLAN DISTRIBUTION PROCEDURES:16
XV. Appendix A – Employee listing as of 2010.10.19 17

I. EMERGENCY CONTACT PERSONS

Our firm's two emergency contact persons are: Richard A. Rosenblatt (phone: 212-607-3100; email: rosenblatt@rblt.com) and Joseph C. Gawronski (phone: 212-607-3110; email: jgawronski@rblt.com). These names will be updated in the event of a material change, and our Executive Representative will review them within 17 business days of the end of each quarter.

II. FIRM POLICY

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities.

A. SIGNIFICANT BUSINESS DISRUPTIONS (SBDs)

Our plan anticipates two kinds of SBDs, internal and external. Internal SBDs affect only our firm's ability to communicate and do business, such as a fire in our building. External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a city flood, or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of our clearing firm.

B. APPROVAL AND EXECUTION AUTHORITY

Richard A. Rosenblatt, a registered principal, is responsible for approving the plan and for conducting the required annual review. Joseph C. Gawronski, a registered principal, has the authority to execute this BCP.

C. PLAN LOCATION AND ACCESS

Our firm will maintain copies of its BCP plan and the annual reviews, and the changes that have been made to it for inspection. Electronic copies are available at a variety of locations (please refer to the BCP Plan Location section and related tables at the start of this document).

III. BUSINESS DESCRIPTION

Our firm conducts business primarily in equity securities –both international and domestic–, but also occasionally in futures and derivative securities. Our firm is an introducing firm and does not perform any type of clearing function for itself or others. Furthermore, we do not hold customer funds or securities. We accept and enter orders. All transactions are sent to our clearing firm, which compares them, clears and settles them. Our clearing firm also maintains our customers' accounts, can grant customers access to them, and delivers funds

and securities. With limited exceptions, our firm services only institutional customers. We do not engage in any private placements.

Our clearing firm is GOLDMAN SACHS EXECUTION & CLEARING, L.P. located at, 30 HUDSON STREET 10th Floor, Jersey City, NJ 07302 and they can be reached at (212) 357-2266.

Their web site is at <http://gsec.gs.com> and our contact person at that clearing firm is Brien DuBois who can be reached at (212)-902-7445 and brien.dubois@gs.com. Our clearing firm has also given us the following alternative back-up contact, Bryan Gronau who can be reached at (212)-357-3821 and bryan.gronau@gs.com. Information can be obtained at a second office in the event it cannot be reached at its primary contact office: GOLDMAN SACHS & CO. One New York Plaza New York, New York 10004.

IV. OFFICE LOCATIONS

Our Firm has three offices.

A. OFFICE LOCATION #1

Our Location #1 Office is located at 20 Broad Street, 26th Floor, New York, NY 10005. Its main telephone number is 212-607-3100. Our employees may travel to that office by means of foot, car, subway, train, bus and ferry boat. We engage in order taking and entry at this location.

B. OFFICE LOCATION #2

Our Location #2 Office is located in the Garage (Booths XB8 – XB15) at the New York Stock Exchange, 11 Wall Street, New York, NY 10005. Its main telephone number is 212-509-7494. Our employees may travel to that office by means of foot, car, subway, train, bus and ferry boat. We engage in order taking and entry at this location.

C. OFFICE LOCATION #3

Our Location #3 Office (RSI Europe) is located River House, East Wall Road, Dublin 3, Ireland. Its main telephone number is 353 1 855 9125. Our employees may travel to that office by means of foot, car, subway, train, and bus. This office is a sales and marketing office and we do not engage in order taking and entry at this location.

V. ALTERNATIVE PHYSICAL LOCATION(S) OF EMPLOYEES

All our critical processes are automated by systems that are hosted by the vendors in redundant locations. Consequently, in the event of an SBD, designated employees can continue without any disruption. For example, employees will be able to work from their homes, or any part of the country that is unaffected, as we have made sure that all critical order taking and entry applications and other mission critical systems required for communication and conduct of business, are accessible via the Internet. We have also determined that ability can be maintained during long duration SBD's such as a flu pandemic.

VI. CUSTOMERS' ACCESS TO FUNDS AND SECURITIES

Our firm does not maintain custody of customers' funds or securities, which are maintained at our clearing firm, GSEC. In the event of an internal or external SBD, if telephone service is available, our registered persons will take customer orders or instructions and contact our clearing firm on their behalf, and if our Web access is available, our firm will post on our Web site that customers may access their funds and securities by contacting GSEC at 212-357-2266. The firm will make this information available to customers through its disclosure policy.

If SIPC determines that we are unable to meet our obligations to our customers or if our liabilities exceed our assets in violation of Securities Exchange Act Rule 15c3-1, SIPC may seek to appoint a trustee to disburse our assets to customers. We will assist SIPC and the trustee by providing our books and records identifying customer accounts subject to SIPC regulation.

VII. DATA BACK-UP AND RECOVERY (HARD COPY AND ELECTRONIC)

Our firm maintains certain back-up hard copy books and records, as well as older hard copy books and records, at The Robert Lewis Group at 29 Ryerson Street, Brooklyn, NY 11205. These records are paper copies. Our Compliance Officer who can be reached at 212-607-3100 is responsible for the maintenance of these back-up books and records. On a monthly basis, our firm backs up its paper records by shipping them to The Robert Lewis Group for archival purposes. These records can then be accessed and retrieved on short notice for a variety of reasons, including (but not limited to) audits, reviews, DR, etc.

Our electronic records are backed up daily and, to external non-regional facilities. As a general policy, any new daily input generated or received through a Firm's computer (servers and individual user workstations), is backed up daily each night after business hours. In addition, a full back-up of all data in the system is performed every week (the backup week cycle starts on Wednesdays) with one retention copy kept bi-monthly.

Our e-mail is hosted at our IT services provider (CenterBeam) in their fully redundant infrastructure (e.g., computers, disks, sites, etc.) and is backed up nightly. All our email is archived by the archival vendor SECCAS. We can access our email using connected clients from our offices, or over the internet from other locations using Outlook Web Access or other mobile web devices such as smart phones and tablets. Regardless of how we access email, all outgoing/incoming emails are archived.

A. BACKUP POLICY AND APPROACH

All backups are performed first internally on backup drives, then by hosted solutions using what is commonly referred to as a "disk-to-disk" approach. The data is encrypted using 256 bit AES encryption and transferred from the local computer disks to redundant disks farms and servers at secure offsite data vaulting centers (hosted at industry leading public cloud facilities such as Amazon S3 facilities, etc. redundantly in the US and Europe) and written to a replica hosted at another facility for DR purposes.

This approach has proven much more reliable than tape based approaches. In addition, restores (file, partials, etc.) can be initiated (even by the end-user depending on the access

rights granted), by accessing a web site.

B. READ-ONLY SYSTEMS (SPECIAL CASE)

The special case of “Read-only” systems (e.g. deprecated billing system leveraged for historical data only) are handled by “ghost”ing the machine and sending the image offsite to our records keeping facility.

C. IM/E-MAIL ARCHIVING

Our infrastructure is managed by Centerbeam and all our email is processed on their Microsoft Exchange mail service. We have contracted with SECCAS to capture and store all corporate e-mail and email communication over Bloomberg.net. All Instant Messaging (AOL Instant Messenger, Gchat, IRC and other approved services) communications are also processed in real time and monitored by SECCAS. Access to other email services such as Hotmail/Yahoo/Gmail is strictly prohibited and access is denied. The firm is actively seeking means to comply as new communication systems are developed such as blogging and social networks as the firm believes the regulatory measure protects our clients’ interests.

D. DATA RECOVERY

In the event of an internal or external SBD that causes the loss of our paper records, we will physically recover them from our back-up site. If our primary site is inoperable, we will continue operations from our back-up site or an alternate location. For the loss of electronic records, we will access the backup sets over the internet or request they be shipped to us on a portable storage device.

VIII. FINANCIAL AND OPERATIONAL ASSESSMENTS

A. OPERATIONAL RISK

In the event of an SBD, we will immediately identify what means will permit us to communicate with our customers, employees, critical business constituents, critical banks, critical counter-parties, and regulators. Although the effects of an SBD will determine the means of alternative communication, the communications options we will employ will include email and home and mobile telephones. In addition, we will retrieve our key activity records as described in the section above, Data Back-Up and Recovery (Hard Copy and Electronic).

B. FINANCIAL AND CREDIT RISK

In the event of an SBD, we will determine the value and liquidity of our investments and other assets to evaluate our ability to continue to fund our operations and remain in capital compliance. We will contact our clearing firm, critical banks, and investors to apprise them of our financial status. If we determine that we may be unable to meet our obligations to those counter-parties or otherwise continue to fund our operations, we will request additional financing from our bank or other credit sources to fulfill our obligations to our customers and clients. If we cannot remedy a capital deficiency, we will file appropriate notices with our regulators and immediately take appropriate steps, including alerting our customers and known counter-parties.

IX. Mission Critical Systems

Our firm's "mission critical systems" are those that ensure prompt and accurate processing of securities transactions, including order taking, entry, execution, comparison, allocation, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities. More specifically, these systems include: Fidessa, Inforeach (basket trading), Pipeline or RealTick (ECN aggregation), ThomsonOne (market data), Bloomberg Anywhere (market data), NYSET Superfeed (market data), BBSS (order management on the NYSE floor), GSEC Front-end (allocations and executions interface), OptimalApplications (account management).

We have primary responsibility for establishing and maintaining our business relationships with our customers and have sole responsibility for our mission critical functions of order taking, entry, execution and allocation. Our clearing firm provides, through contract, the comparison, clearance and settlement of securities transactions, the maintenance of customer accounts, access to customer accounts, and the delivery of funds and securities.

Our clearing firm contract provides that our clearing firm will maintain a business continuity plan and the capacity to execute that plan. Our clearing firm represents that it will advise us of any material changes to its plan that might affect our ability to maintain our business and has presented us with an executive summary of its plan, which is attached ([click here](#)). In the event our clearing firm executes its plan, it represents that it will notify us of such execution and provides us equal access to services as its other customers. If we reasonably determine that our clearing firm has not or cannot put its plan in place quickly enough to meet our needs, or is otherwise unable to provide access to such services, our clearing firm represents that it will assist us in seeking services from an alternative source.

A. Our Firm's Mission Critical Systems

1. Order Taking

Currently, our firm receives orders from customers via Fidessa and Inforeach networks over FIX and basket orders in the form of files over the internet via FTP, instant messaging, telephone and email attachments. Orders over Fidessa and Inforeach are directly delivered to the Fidessa and Inforeach clients. During an SBD, either internal or external, we will continue to take orders through any of these methods that are available and reliable, and in addition, as communications permit, we will inform our customers when communications become available to tell them what alternatives they have to send their orders to us. Customers will be informed of alternatives by email, telephone or instant messaging. If necessary, we will advise our customers to place orders directly with our clearing firm.

2. Order Entry

Currently, our firm enters orders electronically either into Fidessa or Inforeach and sends them to our broker booth on the floor or an execution destination directly. Each of these vendors has represented that their infrastructure is fully redundant as a result of employing

a variety of carriers, technologies and power sources. Customers' trade data is replicated in real-time between their data centers, protecting valuable information in the event of an SBD related to their own operations.

We anticipated the following SBD scenarios: (1) Our 26th floor location alone is out of commission; (2) Our NYSE Floor location is out of commission; (3) both 26th Floor location and the NYSE Floor location is out of commission;

We have redundant and independent access to Fidessa and Inforeach and the internet from both the 26th Floor location and NYSE floor location. In the event we experience disruption in only one of these locations we will continue our operation from the other functioning location. In the event both locations are not available, we can access Fidessa and Inforeach over the internet.

In the event we suffer SBD at both our locations, Fidessa is available over the internet and key personnel can access it from a remote locations. Because email is a hosted and managed service through Centerbeam, SBD in either or both of these locations does not impact our communication with our clients, clearing firm or any other business partner. In particular, we will enter and send records to our clearing firm by the fastest alternative means available, which includes email. In the event of an external SBD, we will maintain the order in electronic or paper format, and deliver the order to the clearing firm by the fastest means available when it resumes operations. In addition, during a total internal SBD (simultaneous failure in 26th Floor, NYSE floor and the offsite), we may need to refer our customers to deal directly with our clearing firm for order entry.

The key trading applications used all provide access via the Web (including Fidessa Bloomberg, Thomson, etc.) which we plan on using in the case of an SBD. The client activity records are available at standard download locations (FTP site or web site) and, after the initial installation, the only additional requirements are the usernames and passwords. We actively require our client facing personnel to install critical systems on their home computers and conduct preparedness exercise throughout the year. We have designated individuals to operate from their offsite locations. Because our corporate FTP servers will likely be unavailable, we will instruct our clients to send us the files (basket orders) by email.

3. Order Execution

We currently execute orders using our brokers on the NYSE floor or by sending them directly to execution destinations such as the NYSE's DOT/Direct + system or ECNs via Fidessa, Pipeline and/or Realtick. In the event of an internal or external SBD, our traders would continue to have access to each of our applications used for execution over the Internet from their homes or anywhere else they could access a computer and internet connection.

4. Other Services Currently Provided to Customers

In addition to those services listed above in this section we also provide direct market access solutions hosted externally. They are hosted at more than one location in a live configuration and are geographically dispersed. We also provide banking, consultative, and bespoke work for certain clients.

B. MISSION CRITICAL SYSTEMS PROVIDED BY OUR CLEARING FIRM

Our firm relies, by contract, on our clearing firm to provide order comparison, the maintenance of customer accounts, delivery of funds and securities, and access to customer accounts.

X. Alternate Communications Between the Firm and Customers, Employees, and Regulators

A. COMMUNICATION INFRASTRUCTURE

We have built redundant pathways to communicate with our clients as follows: we have implemented redundant internet connectivity using two different vendors which are both up in a “live – live” configuration. We can correspond with our customers over email using using the internet or other mobile web devices such as smart phones and tabletsWe have IP based telephony in our main office with traditional plain old telephone system as a backup, and a wireless phone for every user. With or without internet connectivity (even if both our internet providers fail) we can continue to serve clients as needed at all times.

B. CUSTOMERS

We now communicate with our customers using the telephone, e-mail, instant messaging, fax, U.S. mail, and the FIX messaging protocol. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. For example, if we have communicated with a party by e-mail but the Internet is unavailable, we will call them on the telephone and follow up where a record is needed with paper copy in the U.S. mail.

C. EMPLOYEES

We now communicate with our employees using the telephone, e-mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party. We will also employ a call tree so that senior management can reach all employees quickly during an SBD. The call tree includes all staff home and office phone numbers. We have identified persons, noted below, who live near each other and may reach each other in person:

The person to invoke use of the call tree is: Joseph Gawronski and/or Dick Rosenblatt

Caller	Call Recipients
Joe Gawronski and/or Dick Rosenblatt	Scott Burrill, Mike Fredrickson, Gordon Charlop, Robin Richel, Charles Roney, Joseph Benanti, Joseph Sangimino, Tom Sanders, Russell Holub, David Torbati, Vikas Shah, Tom Kane
Scott Burrill	Ryan Ryan, Xiang Li, Nishant Mittal
Justin Schack	Alex Kemmsies
Gordon Charlop	Robert Greason, John Mauro, John Santiago, Basile Nahas, Jacob Huck, Charles Flood, Walter Lundon, Tim Pastina

Mike Fredrickson	Frank Ventura.
Charles Roney	Rose Coulson, Anthony Castelli, Jesse Reinfelder, Roseann Chiarelli, JP Devito, Brian Capuano, Sam Viemeister
Robin Richel	Patricia Savarese, Kieron O'Brien, Joanne Ambia
Joseph Sangimino	Salvatore Aquino
David Torbati	Yvonne Lee, Somanshu Jend, Nishant Mittal, Nimisha Gupta, Jeff Shear, George Tsafas, Manu Agarwal, Aaron Waitz, Interns, Consultants.

D. REGULATORS

We are currently members of the following SROs: NYSE, FINRA, NYSE ARCA, NYSE AMEX, Direct Edge, BATS, NFA and ISE. We communicate with our regulators using the telephone, EFP, e-mail, fax, U.S. mail, and in person. In the event of an SBD, we will assess which means of communication are still available to us, and use the means closest in speed and form (written or oral) to the means that we have used in the past to communicate with the other party.

XI. CRITICAL BUSINESS CONSTITUENTS, BANKS, AND COUNTER-PARTIES

A. BUSINESS CONSTITUENTS

We have contacted our critical business constituents (businesses with which we have an ongoing commercial relationship in support of our operating activities, such as vendors providing us critical services), and determined the extent to which we can continue our business relationship with them in light of the internal or external SBD. We will quickly establish alternative arrangements if a business constituent can no longer provide the needed goods or services when we need them because of a SBD to them or our firm.

B. BANKS

We have contacted our banks and lenders to determine if they can continue to provide the financing that we will need in light of the internal or external SBD. The bank maintaining our operating account is: Signature Bank, 565 Fifth Avenue, New York, NY, 10017, (646) 822-1606, Dan Nidus. GSEC maintains our Proprietary Account of Introducing Brokers/Dealers (PAIB account), and is located at 30 HUDSON STREET 10th Floor, Jersey City, NJ 07302. Our contact at GSEC, Brien DuBoise, can be reached at 212-902-7445. If our banks and other lenders are unable to provide the financing, we will seek alternative financing immediately from one of the major money center banks in the NYC area.

C. COUNTER-PARTIES

We have contacted our critical counter-parties, such as other broker-dealers or institutional customers, to determine if we will be able to carry out our transactions with them in light of the internal or external SBD. Where the transactions cannot be completed, we will work with our clearing firm or contact those counter-parties directly to make alternative arrangements to complete those transactions as soon as possible.

XII. REGULATORY REPORTING

Our firm is subject to regulation by the SEC, FINRA, ISE, CFTC and various state securities units. We now file reports with our regulators using paper copies in the U.S. mail, and electronically using fax, EFP, e-mail, and the Internet. In the event of an SBD, we will check with the SEC, NASD, and other regulators to determine which means of filing are still available to us, and use the means closest in speed and form (written or oral) to our previous filing method. In the event that we cannot contact our regulators, we will continue to file required reports using the communication means available to us.

XIII. DISCLOSURE OF BUSINESS CONTINUITY PLAN

We provide in writing a BCP disclosure statement to customers at account opening. We also post the disclosure statement on our Web site and mail it to customers upon request.

XIV. UPDATES AND ANNUAL REVIEW

Our firm will update this plan whenever we have a material change to our operations, structure, business or location or to those of our clearing firm. In addition, our firm will review this BCP annually, to modify it for any changes in our operations, structure, business, or location or those of our clearing firm.

A. PLAN DISTRIBUTION PROCEDURES:

Additional copies will be offsite with the BCP Plan executors.

XV. Appendix A – Employee listing as of 2011.02.17

Employee	Department/Title	Contact Numbers
Joanne Ambia		
Manu Agarwal		
Salvatore Aquino	Desk Trader	(212) 734-7449 home (917) 849-9284 cell
Scott Burrill	Partner/Managing Director	(253) 549-6493 cell
Joe Benanti	Managing Director	(732) 681-2021 home (732) 261-1367 cell
Anthony Castelli	Compliance Officer	(718) 541-0228
Gordon Charlop	Managing Director	
Roseann Chiarelli	Controller	(845) 360-5232
Rose Coulson	Operations Clerk	(718) 513-6819 (347) 866-1848 cell
Robert DeGaetano	Floor Broker	(516) 785-1964
Charles Flood		
Michael Fredrickson	Assistant Head Trader	(718) 370-0741 (917) 301-0070 cell
Joe Gawronski	President/COO	(908) 654-7999 home (917) 363-3619 cell
Nimisha Gupta		
Robert Greason	Floor Broker	(917) 572-1499 cell
Russell Holub		
Jacob Huck		
Somanshu Jend	Senior Functional Analyst	(201) 360-9352
Tom Kane	Sales	Cell - 917-854-0054 Office - 781-544-1305
Alex Kemmsies		
Yvonne Lee	VP Operations and Technology	(917) 209-7542 cell
Walter Lundon		
John Mauro	Floor Clerk	(914) 997-2658
Nishant Mittal	Senior System Architect	(646) 460-1767 cell
Basile Nahas	Floor Broker	
Kieron O'Brien	Managing Director	011-3531-855-9125(h) 011-35387-299-7759(c)
Tim Pastina		
Jesse Reinfelder		
Richard Rosenblatt	CEO	(914) 591-4933 (917) 273-5556 cell
Robin Richel	Office Manager	(718) 531-8383 (917) 922-2636 cell
Charlie Roney	Chief Compliance Officer	(914) 381-2516 (914) 262-1449 cell
Tom Sanders	International Equity Trading	(631) 968-4358 (917) 287-3291
Joseph Sangimino	Floor Broker	(718) 668-2191 (917) 400-6556 cell
John Santiago	Floor Broker	(561) 628-4513 (732) 709-3030 cell
Trish Savarese	Administrative	(347) 371-9051 (917) 846-1519 cell
Justin Schack	VP Market Structure Analysis	908-232-5405
Vikas Shah	Investment Banker	201-951-6961
Jeff Shear		
Wendy Starker	VP Corporate Events	

George Tsafas
David Torbati
Frank Ventura

I/T Consultant
Vice President
Desk Trader

(610) 737-1553

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Aaron Waitz

I/T Networking Consultant

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