

Additions: Underlined  
Deletions: [Bracketed]

Rules of New York Stock Exchange LLC

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**Rule 37. [Visitors] Admission and Conduct on the Trading Floor**

(a) Admission. Visitors shall not be admitted to the Floor of the Exchange except by permission of the Exchange.

(b) Conduct on the Trading Floor. While on the Trading Floor, all members are required to act in a manner consistent with a fair and orderly market and with the maintenance of public confidence in the Exchange. Upon the determination that a member's conduct on the Floor is such as to impair the maintenance of a fair and orderly market, or to impair public confidence in the operations of the Exchange, or that a member has otherwise violated this rule, a member may be disciplined in accordance with the Rule 9000 Series. This also applies to a member's failure to adequately supervise an employee or guest of the member to ensure his or her compliance with this rule.

(c) Standards of Dress and Conduct. All persons on the Floor must comply with the following standards of dress and conduct:

(1) Standards of Dress. All persons on the Floor, whether members, employees of member organizations or visitors, must at all times, whether prior to, during or after trading sessions, be dressed in a manner appropriate for business purposes and in accordance with good taste and professional standards. The term "good taste" will be interpreted in a conservative manner. The following requirements and prohibitions must be observed:

(A) Personal attire must be neat, clean and presentable.

(B) All members and employees of member organizations must wear trading jackets and/or suit or sport coats while present on the Floor.

(C) The Exchange may impose additional standards of dress or otherwise modify these standards of dress by means of a written policy that will be distributed to all members and member organizations.

(2) Standards of Conduct.

(A) All persons on the Floor are required to conduct themselves in accordance with a seemly and professional standard of behavior. No person while on the Floor shall:

- (i) engage in any act or practice that may be detrimental to the interest or welfare of the Exchange; or
- (ii) engage in any act or practice that may serve to disrupt or hinder the ordinary and efficient conduct of business; or
- (iii) engage in any act or practice that may serve to jeopardize the safety or welfare of any other individual; or
- (iv) act in a disorderly manner, which includes, but is not limited to, use of abusive or indecorous language and the display or circulation of written material or graphic images that are harassing, inappropriate, offensive, and/or lewd.

(B) Entry and consumption of food or drink on the Floor may be permitted at the discretion of the Exchange. Food or drink should only be consumed at the booth or post. Alcoholic beverages may not be consumed on the Floor during business hours as defined in Rule 7.1.

(C) Smoking in any form, any kind of tobacco use, or any expectorating on the Floor, is prohibited. This prohibition applies at all times.

(D) Running on the Floor, which means any movement at a degree of speed which may disrupt other occupants of the Floor, is prohibited.

(E) Standing on chairs, furniture, booths, ladders, stools and similar items is prohibited.

(F) No object of any kind may be placed in the trading post areas, including all chairs, stools or other furniture, if it could obstruct the flow of people in or out of the Trading Floor.

(d) Trading Floor Badges. Admission to the Floor will be by Exchange-issued badge only. Exchange-issued badges must be appropriately displayed, with the photo visible, at all times while on the Floor. Use of an Exchange-issued badge belonging to another member or Floor employee to enter or exit the Floor is prohibited. Authorized persons seeking admission to the Floor without a badge must show proper identification and obtain a temporary badge from the Security Office. Visitor's badges are not acceptable identification cards for Floor employees.

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**Rule 9217. Violations Appropriate for Disposition Under Rule 9216(b)**

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- Rule 36 provisions governing member and member organization communications between the Floor and other locations, the use and/or possession of portable or wireless communication or trading devices, and the proper handling and reporting of "give ups."
- Rule 37 provisions governing Floor decorum, disruptive actions involving physical contact while on the Floor, use of abusive language, rules on visitors, abuse of Exchange property, and misuse of Exchange-issued badge or identification.
- Rule 60 requirements for dissemination of quotations for reported securities.

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