

Additions: Underlined  
Deletions: [Bracketed]

**RULES OF THE NYSE MKT LLC**

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**Office Rules**

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**Section 4. Employees and Admission of Members and Member Organizations**

**Rule 340. Disapproval of Employees**

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**••• Commentary -----**

**.01** Any employee or prospective employee of a member or member organization who is to be admitted to the trading floor must be registered and approved by the Exchange. To become registered, such employee or prospective employee must electronically file an application on the Uniform Application for Securities Industry Registration or Transfer ("Form U-4") and any amendment thereto to the Central Registration Depository. All employees and prospective employees of members and member organizations who have submitted applications for admission to the trading floor are required to be fingerprinted and to submit, or cause to be submitted, such fingerprints to the Exchange or its designee for identification and appropriate processing. A member or member organization shall promptly file a Uniform Termination Notice for Securities Industry Registration ("Form U-5") electronically with the Central Registration Depository ("CRD"), but not later than 30 calendar days after the date of termination of an employee that has been approved for admission to the trading floor. Any amendment to a Form U-5 shall also be promptly filed electronically with the CRD, but not later than 30 calendar days after learning of the facts or circumstances giving rise to the amendment. All Forms U-5 shall also be provided to the terminated person concurrently with filing.[Members and member organizations are required to electronically file a Uniform Termination Notice for Securities Industry Registration ("Form U-5") and any amendment thereto to the Central Registration Depository within 10 days of the date of termination of an employee that has been approved for admission to the trading floor.] Members and member organizations also are responsible for obtaining and submitting a terminated employee's Exchange identification badge to the Exchange. For purposes of this Commentary .01, the term "trading floor" includes, but is not limited to, any space provided to members and their employees for the resolution of errors.

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## Rule 341 Approval of Registered Employees and Officers

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### ••• *Commentary* -----

.09 Termination of Employment.—A member or member organization shall promptly file a Uniform Termination Notice for Securities Industry Registration (“Form U-5”) electronically with the Central Registration Depository (“CRD”), but not later than 30 calendar days after the date of termination of a member, registered employee or an officer. Any amendment to a Form U-5 shall also be promptly filed electronically with the CRD, but not later than 30 calendar days after learning of the facts or circumstances giving rise to the amendment. All Forms U-5 shall also be provided to the terminated person concurrently with filing.[Members and member organizations must immediately inform the Exchange of any termination of employment of a member, registered employee or an officer, together with the reasons therefor. Such information is to be submitted on Form U-5 within ten days of the date of termination.]

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## MEMBERSHIP REQUIREMENTS AND ADMISSIONS PROCEDURE

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### Rule 359 Application and Termination Forms (Forms U-4 and U-5)

- (a) An individual who (i) seeks to become an Amex Trading Permit Holder or (ii) is or should be an approved person or allied member shall electronically file a Uniform Application for Securities Industry Registration or Transfer (Form U-4) and any amendments thereto with Central Registration Depository. An ATP Holder shall promptly file a Uniform Termination Notice for Securities Industry Registration (“Form U-5”) electronically with the Central Registration Depository (“CRD”), but not later than 30 calendar days after the date of termination of an ATP Holder or approved person. Any amendment to a Form U-5 shall also be promptly filed electronically with the CRD, but not later than 30 calendar days after learning of the facts or circumstances giving rise to the amendment. All Forms U-5 shall also be provided to the terminated person concurrently with filing.[An ATP Holder that terminates an ATP Holder or approved person shall electronically file within 10 days of such termination a Uniform Termination Notice for Securities Industry Registration (Form U-5) with the Central Registration Depository. An ATP Holder shall electronically file with the Central Registration Depository any amendments to Form U-5 within 10 days of the discovery of the information requiring the amendment.]

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