

Additions underscored  
Deletions [bracketed]

### **Rule 501 – NYSE Amex Equities. Definitions**

For the purposes of Rules 500 – 525 – NYSE Amex Equities, the following terms shall have the meanings specified below. All other terms shall have the meanings assigned to them in the NYSE Amex Equities Rules.

(a) The term "Closing Price" shall mean the price of the last transaction[sale] in a Nasdaq Security on the Exchange reported to the Consolidated Tape that occurs at or prior to close of the regular trading session. In the event that the market for a particular Nasdaq Security is manual or "slow" at or just prior to the close of trading (e.g. due to the publication of a gap quote or when a Liquidity Replenishment Point has been reached), the term "Closing Price" shall mean the price of a single trade at or immediately after the close of the regular trading session.

(b) – (d) No changes.

(e) (1) The term "Order" shall mean the order types defined in Rule 13 – NYSE Amex Equities, except that the following order types are modified as follows:

(A) No changes.

(B) Stop Order - A stop order to buy becomes a market order when a transaction in the Nasdaq Security occurs on the Exchange at or above the stop price after the order is received into the Exchange's automated order routing system or is manually represented by a Floor broker in the Crowd. A stop order to sell becomes a market order when a transaction in the Nasdaq Security occurs on the Exchange at or below the stop price after the order is received into the Exchange's automated order routing system or is manually represented by a Floor broker in the Crowd. Elected stop orders become market orders and will be eligible to be automatically executed in accordance with, and to the extent provided by, Exchange Rules 116.40 - NYSE Amex Equities, 123C - NYSE Amex Equities and 1000 - NYSE Amex Equities-1004 - NYSE Amex Equities. A stop order that is unelected at the close of the regular trading session shall be treated as a Day Order and cancelled. Odd-lot size transactions shall not be considered transactions eligible to elect stop orders for execution.

(2) No changes.

(f) - (g) No changes.

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**Rule 506 – NYSE Amex Equities. Units of Trading; Bids and Offers; Dissemination of Quotations; Priority**

(a) Units of trading - In accordance with Rules 55- and 56– NYSE Amex Equities, the unit of trading in Nasdaq Securities shall be [100]one share[s], right[s] or warrant[s] (a “round lot”),]. Nasdaq Securities traded on the Exchange shall be quoted in round lots (generally 100 units of trading), except that, [when]if the UTP Listing Market for a particular Nasdaq Security designates a [unit of trading]round lot for that security of less than one hundred units[round lot], the Exchange shall apply the same such lesser number of units for that security[shares, rights or warrants as determined by the UTP Listing Market with respect to each Nasdaq Security so designated]. Nasdaq Securities designated with round lots of less than 100 units shall be dealt in pursuant to the provisions of Rule 64 – NYSE Amex Equities.

(b) Bids and Offers

(1) The Exchange shall receive, process and execute all bids or offers for Nasdaq Securities made and accepted in accordance with NYSE Amex Equities Rules, and all such bids and offers shall be binding.

[ (A) Bids or offers that are for less than one unit of trading (an “odd-lot”) shall be processed and executed by means of the Exchange’s odd-lot order system pursuant to Rule 124 – NYSE Amex Equities.

(B) Bids or offers that consist of one or more trading units, together with an amount less than one trading unit (a “partial round-lot”), shall be processed and executed pursuant to Rule 124 – NYSE Amex Equities.]

(2) No changes.

(3) Bids and offers in Nasdaq Securities admitted to dealings

(A) on an “issued” basis shall be made as “regular way” in accordance with Rules 64-[ , 65-] and 66- NYSE Amex Equities.

(B) on a “when-issued” or “when-distributed” basis shall be made only “when-issued” or “when-distributed” in accordance with Rule 63 – NYSE Amex Equities.

(4) No changes.

(c) – (d) No changes.

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**Rule 508 – NYSE Amex Equities. Openings, Reopenings and Closings**

(a) Openings and Reopenings

(1) Trading in Nasdaq Securities on the Exchange shall open at 9:30 a.m. or as soon thereafter as possible, or at such other time as may be specified by the Exchange, and orders for Nasdaq Securities shall not be accepted by the Exchange before trading opens on any business day.

[(A) For the time period from the approval of SR-NYSEAmex-2010-31 by the Securities and Exchange Commission until the implementation of trading-in-shares by the Exchange, odd-lot orders in Nasdaq Securities that are received by the Exchange prior to the opening of trading in those securities on the Exchange will be held and will not be executed until the first round-lot transaction in each particular security. Open odd-lot orders may be cancelled by the entering firm at any time.]

(2) - (5) No changes.

(b) No changes.

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