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Rules of NYSE Amex LLC

Rule 985NY. Qualified Contingent Cross Trade

Qualified Contingent Cross Orders are automatically executed upon entry into the NYSE Amex System [from off the Floor] provided that the execution (i) is not at the same price as a Customer Order in the Consolidated Book and (ii) is at or between the NBBO.

- (1) Qualified Contingent Cross Orders will be automatically canceled if they cannot be executed.
- (2) Qualified Contingent Cross Orders may only be entered in the regular trading increments applicable to the options class under Rule 960NY.
- [(3) Qualified Contingent Cross Orders shall only be submitted electronically from off the Floor to the NYSE Amex System.]

Commentary:

.01 Qualified Contingent Cross Orders can be entered into the NYSE Amex System from on the Floor of the Exchange only by Floor Brokers. Floor Brokers shall not enter such orders for their own account, the account of an associated person, or an account with respect to which it or an associated person thereof exercises investment discretion (each a “prohibited account”). When executing such orders, Floor Brokers shall not be subject to NYSE Amex Rules 934NY, 934.1NY, 934.2NY, and 934.3NY. Floor Brokers [ATP Holders] must maintain books and records demonstrating that each Qualified Contingent Cross Order entered from the Floor was not entered for a prohibited account [routed to the NYSE Amex System from off of the Floor]. Any Qualified Contingent Cross Order entered from the Floor that does not have a corresponding record required by this Commentary .01 shall be deemed to have been entered for a prohibited account [from on the Floor] in violation of this Rule.

.02 With respect to a Qualified Contingent Cross Order that was routed to the NYSE Amex System from off of the Floor, ATP Holders must maintain books and records demonstrating that each such order was routed to the system from off of the Floor. This provision would not apply to a Qualified Contingent Cross Order covered by Commentary .01 to this NYSE Amex Rule 985NY (i.e., a Qualified Contingent Cross Order routed to a Floor Broker for entry into the NYSE Amex System).

.03 NYSE Amex Rule 935NY does not apply to Qualified Contingent Cross Orders.
