

Additions underlined.
Deletions [bracketed].

NYSE Amex Rules

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NYSE Amex Equities Rules

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Rule 5210 – NYSE Amex Equities. Publication of Transactions and Quotations

No member organization shall publish or circulate, or cause to be published or circulated, any notice, circular, advertisement, newspaper article, investment service, or communication of any kind which purports to report any transaction as a purchase or sale of any security unless such member organization believes that such transaction was a bona fide purchase or sale of such security; or which purports to quote the bid price or asked price for any security, unless such member organization believes that such quotation represents a bona fide bid for, or offer of, such security.

••• Supplementary Material: -----

.01 Manipulative and Deceptive Quotations. It shall be deemed inconsistent with Rules 2010 – NYSE Amex Equities (Standards of Commercial Honor and Principles of Trade), 2020 – NYSE Amex Equities (Use of Manipulative, Deceptive or Other Fraudulent Devices) and 5210 – NYSE Amex Equities (Publication of Transactions and Quotations) for a member organization to publish or circulate or cause to be published or circulated, by any means whatsoever, any report of any securities transaction or of any purchase or sale of any security unless such member organization knows or has reason to believe that such transaction was a bona fide transaction, purchase or sale.

Similarly, it shall be deemed inconsistent with Rules 2010 – NYSE Amex Equities, 2020 – NYSE Amex Equities and 5210 – NYSE Amex Equities for a member organization, for itself or for any other person, to publish or circulate or to cause to be published or circulated, by any means whatsoever, any quotation for any security without having reasonable cause to believe that such quotation is a bona fide quotation, is not fictitious and is not published or circulated or caused to be published or circulated for any fraudulent, deceptive or manipulative purpose.

For the purposes of this Rule, the term “quotation” shall include any bid or offer or any formula, such as “bid wanted” or “offer wanted,” designed to induce any person to make or submit any bid or offer.

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