

Additions underlined
Deletions [bracketed]

Rules of New York Stock Exchange LLC

Rule 132. Comparison and Settlement of Transactions Through A Fully-Interfaced or Qualified Clearing Agency

••• *Supplementary Material:* -----

[.40 It shall be the obligation of each member effecting a transaction on the Floor, whether acting as agent for another member or otherwise, to supply items (1) through (8) of the above-specified trade data to the clearing member organization for his side of the transaction for submission by such clearing member organization. The clearing member organization shall, as provided in paragraph .30 above, submit such data to a Fully-Interfaced or Qualified Clearing Agency, or to the Exchange as prescribed above. It shall also be the duty of each member to promptly upon effecting the transaction, notify the reporter in the Crowd, or such other individual as the Exchange may deem appropriate, of his broker badge number, or alpha symbol as may be used from time to time, and any other information in regard to the contract as the Exchange may determine from time to time.]

Rule 9217. Violations Appropriate for Disposition Under Plan Pursuant to SEA Rule 19d-1(c)(2)

• Failure to collect [and/or submit]all audit trail data specified in Rule 132.
