

Additions underlined
Deletions [bracketed]

Rules of New York Stock Exchange LLC

Rule 104. Dealings and Responsibilities of DMMs

(k) Temporary DMMs. In the event of an emergency, such as the absence of the DMM, or when the volume of business in the particular stock or stocks is so great that it cannot be handled by the DMMs without assistance, a Floor Governor may authorize a member of the Exchange who is not registered as a DMM in such stock or stocks, to act as temporary DMM for that day only.

If a temporary DMM substitutes for a DMM, and if no DMM is present, the temporary DMM is expected to assume the obligations and responsibilities of DMMs for the maintenance of the market.

(l) Communication with Issuers of Listed Securities.

(1) On at least a quarterly basis, each DMM unit must communicate with one or more senior officials of each issuer of listed securities in whose securities DMMs associated with the DMM unit are registered, with the exception of ADRs. The senior official designated by the listed issuer for these contacts must be of the rank of Corporate Secretary or above, or a designee thereof, and must not be involved in market or trading operations for or on behalf of the listed issuer or with respect to the listed security.

(A) If a DMM unit does not have contact information for a listed issuer, the DMM unit will seek to communicate with the Corporate Secretary most recently named on a public filing by such issuer.

(2) The communication requirement may be met by in-person meetings, telephone calls, or written communications.

(A) During the required communication, employees of the DMM unit must comply with the requirements of Rule 98 with respect to the information that may be shared with the listed issuer contact.

(B) An employee of a DMM unit may not communicate with a listed issuer contact from the Trading Floor via telephone, but may, while on the Trading Floor, use written electronic communications to communicate with a listed issuer contact from the Trading Floor, subject to Rule 36.31.

(C) DMM units must establish written policies and procedures reasonably designed to ensure that DMMs are in compliance with the requirements of this Rule.

(3) If a DMM unit fails to initiate the required communication with the listed issuer for a single quarter, the Exchange will issue an initial warning letter to the DMM unit. If a DMM unit fails to initiate the required communication with the listed issuer for a two or more quarters, that DMM unit will be ineligible to participate in the allocation process for a minimum of one month following the second quarter of its failure to meet its contact requirement.

Rule 36. Communications Between Exchange and Members' Offices

.31 DMM Electronically Transmitted Written Communications

(a) With the approval of the Exchange, and subject to the conditions set forth in this Supplementary Material .31, a DMM unit may install and maintain a wired or wireless device capable of sending and receiving written electronic communications through an Exchange-approved connection (a "Permitted Communications Device").

(b) [The] A Permitted Communications Device shall only permit written electronic communications between individuals located at the DMM unit's post on the Floor and:[]

(1) individuals with whom telephone communications are permitted under Rules 36.30 and 98 and subject to the same content restrictions set forth in those rules[.];
or

(2) the listed issuer representative designated under Rule 104(l)(1), subject to the same content restrictions set forth in that rule and provided that a DMM unit may not use a Permitted Communications Device for this purpose for the periods 9:15 a.m. Eastern Time until the security is opened and beginning 15 minutes before the scheduled closing time for a security until the security is closed.

(c) A DMM's member organization must maintain records of all written communications sent from or to the DMM via the Permitted Communications Device in accordance with NYSE Rule 440 and SEC Rule 17a-4(b)(4) and in such format as may be prescribed by the Exchange.

(d) A DMM's member organization must establish policies and procedures reasonably designed to ensure that use of the Permitted Communications Device is consistent with all SEC rules and Exchange rules, policies and procedures.
