

Additions: Underlined
Deletions: [Bracketed]

Rules of New York Stock Exchange LLC

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Rule 9120. Definitions

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(h)“Department of Enforcement”

The term "Department of Enforcement" means the Department of Enforcement of FINRA.

(i)[“Department of Market Regulation”

The term "Department of Market Regulation" means the Department of Market Regulation of FINRA.]Reserved.

(j)“Department of Member Regulation”

The term "Department of Member Regulation" means the Department of Member Regulation of FINRA.

(k)“Director”

The term "Director" means a member of the Board of Directors of the Exchange.

(l)“Document”

The term "Document" means a writing, drawing, graph, chart, photograph, recording, or any other data compilation, including data stored by computer, from which information can be obtained.

(m)“Enforcement”

The term “Enforcement” refers to (A) any department reporting to the CRO of the Exchange with responsibility for investigating or, when appropriate after compliance with the Rule 9000 Series, imposing sanctions on a member organization or covered person; and (B) the Department of Enforcement of FINRA[; and (C) the Department of Market Regulation of FINRA].

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