

Additions: Underlined
Deletions: [Bracketed]

Rules of the New York Stock Exchange LLC

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Rules 1P - 13P

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Rule 7P EQUITIES TRADING

Section 1. General Provisions

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Rule 7.19. Pre-Trade Risk Controls

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Commentary:

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.03 Floor Brokers

(a) [Regarding a Floor broker's trading activity on the Exchange on behalf of a customer that is a member organization ("Customer"), either the Floor broker or the Customer may identify itself as the "Entering Firm" for purposes of setting the Pre-Trade Risk Controls in paragraphs (b)(1)(A) and (b)(2)(A) or Kill Switch Actions. For the other Pre-Trade Risk Controls described in this rule, the Floor broker must be identified as the "Entering Firm."] A Floor broker may only set the Pre-Trade Risk Controls and Kill Switch Actions described in this rule as an "Entering Firm" for orders it places using its own MPID.

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