

Additions underlined.
Deletions [bracketed].

NYSE MKT LLC Rules

Equities Rules

Rule 343 - Equities. Reserved. [Offices—Branch Office Space-Sharing Arrangements and Main Office Business Hours

(a) Unless otherwise permitted by the Exchange, each office or foreign incorporated branch of a member or member organization shall not be occupied jointly with any other broker or dealer, investment advisor, or other person who conducts a securities or commodities business with the public. Types of office space arrangements deemed permissible are described below:

(1) Clearing member organizations may furnish office space, telephone, ticker or any other facilities, to their introducing non-clearing member organizations.

(2) A branch or main office sales area of a member or member organization may be shared with any other broker or dealer, investment advisor or other person who conducts a securities or commodities business with the public, provided the member or member organization furnishes the Exchange with the following written assurances:

(A) The arrangement is not contrary to the rules of any self-regulatory organization; and

(B) there is little or no customer traffic in the office of either organization; and

(C) sufficient separation exists to enable customers who do visit to identify the individual or organization with which they are transacting business; and

(D) employees can be clearly identified as to their respective employer; and

(E) clearance has been obtained from the member organization's fidelity insurance carrier and auditors.

(3) Notwithstanding the requirements set forth in (2) above, the Exchange will permit a member or member organization to share office space with any other broker or dealer, investment advisor or other person who conducts a securities or commodities business with the public if the following conditions are met:

- (A) such space is separated by ceiling-high solid walls; and
 - (B) such space has direct access to a public hall, main corridor or street; and
 - (C) the name of each organization is placed on the door to such space; and
 - (D) there are no connecting doors or windows between the space to be jointly occupied; and
 - (E) the names are not listed under the same telephone number, and the telephone number of the member is not used on the letterhead or on any advertising of any other member or non-member. (Also see Rule 36.60 - Equities.)
- (b) Members and member organizations may share office space with any person who is not a broker or dealer, an investment advisor, or who does not conduct a securities or commodities business with the public.
- (c) Unless otherwise permitted by the Exchange, the main office of every member organization shall remain open for business on every full business day during the trading hours on the Exchange.

••• Supplementary Material:

Information Regarding Office Space Arrangements

.10 A non-clearing member organization which has been afforded facilities by its clearing member organization may permit its registered employees to perform their regular duties in the board room of the clearing organization, only if such employees of the non-clearing organization wear badges identifying them as employees of such organization.

When two or more non-clearing member organizations share the facilities of a single board room all employees of such member organizations must wear badges identifying them as employees of their respective member organization employers. It is the duty of the clearing organization to see that this requirement is observed.]
