

Additions: Underscored

Deleted: [Bracketed]

NYSE Rules

Rule 2. "Member," "Membership," "Member Firm," etc.

••• *Supplementary Material* -----

.10 A registered broker dealer that is approved or deemed approved as a member organization of NYSE [MKT]American LLC ("NYSE [MKT]American") pursuant to NYSE [MKT]American Rule 2(b) - Equities shall be approved as an Exchange member organization pursuant to Rule 2(b) and is exempt from Exchange new member organization application fees set forth in the NYSE Price List.

.20 A natural person who has been approved or deemed approved as a member by NYSE [MKT]American pursuant to NYSE [MKT]American Rule 2(a) - Equities and has been designated by an NYSE [MKT]American member organization to effect transactions on the Floor of NYSE [MKT]American shall be approved as an Exchange member pursuant to Rule 2(a).

Rule 6A. "Trading Floor"

(b) The Exchange's Trading Floor does not include (i) the areas in the "Buttonwood Room" designated by the Exchange where NYSE [Amex]American-listed options are traded, which, for the purposes of the Exchange's Rules, shall be referred to as the "NYSE [Amex]American Options Trading Floor" or (ii) the physical area within fully enclosed telephone booths located in 18 Broad Street at the Southeast wall of the Trading Floor.

Rule 17. Use of Exchange Facilities and Vendor Services

(c) Operation of Routing Broker. The term "Routing Broker" shall mean the brokerdealer

affiliate of the Exchange and/or any other non-affiliated third-party broker-dealer that acts as a facility of the Exchange for routing orders entered into Exchange systems to other market centers for execution whenever such routing is required by Exchange Rules and federal securities laws.

2. Inbound Routing Function

(A) For so long as the Exchange is affiliated with NYSE Arca, Inc. ("NYSE Arca") and NYSE [MKT]American LLC ("NYSE [MKT]American"), and Archipelago Securities LLC ("Arca Securities") in its capacity as a facility of NYSE Arca and NYSE [MKT]American is utilized for the routing of any approved types of orders from those exchanges to the Exchange (such function of Arca Securities is referred to as the "Inbound Router"), each of the Exchange and Arca Securities shall undertake as follows:

(B) Provided the above conditions are complied with, and provided further that Arca Securities operates as an outbound router on behalf of NYSE Arca and NYSE [MKT]American on the same terms and conditions as it does for the Exchange, and in accordance with the Rules of NYSE Arca and NYSE [MKT]American, Arca Securities may provide inbound routing services to the Exchange from NYSE Arca and NYSE [MKT]American.

Rule 18. Compensation in Relation to Exchange System Failure

••• *Supplementary Material:* -----

.10 (a) NYSE [MKT]American LLC ("NYSE [MKT]American") shall be permitted to file claims pursuant to Rule 18. Claims by NYSE [MKT]American pursuant to this rule must satisfy all of the conditions set forth in Rule 18(a) that are applicable to member organizations, except that NYSE [MKT]American shall not be required to provide verbal notice of its claims to the Exchange's Division of Floor Operations.

(b) NYSE [MKT]American shall be entitled to submit claims for payment from the Exchange in order to provide compensation to NYSE [MKT]American members for valid claims made by such members pursuant to NYSE American[MKT]'s rules on account of losses incurred as a result of an Exchange system failure.

NYSE [MKT]American members shall not be entitled to submit claims to the Exchange pursuant to this rule.

(c) NYSE [MKT]American will submit a separate claim to the Exchange for each claim made to NYSE [MKT]American by its members. If payment on all claims submitted pursuant to this rule, including claims by NYSE [MKT]American, is made pursuant to Rule 18(c)(iii) of this rule, each claim by NYSE [MKT]American shall be considered a separate claim, and the Compensation Review Panel shall not aggregate the NYSE [MKT]American claims into a single claim.

(d) The Compensation Review Panel shall decide the validity of NYSE [MKT]American claims in accordance with the process set out in NYSE Rule 18.

Rule 36. Communications Between Exchange and Members' Offices

••• *Supplementary Material:* -----

.23 Use of Personal Portable or Wireless Communication Devices.

Notwithstanding any other provisions of this Rule 36, members and employees of member organizations: (1) are permitted to use cellular or wireless communications devices outside the Trading Floor, provided such use is consistent with all other Exchange Rules and federal securities laws and the rules thereunder; and (2) are prohibited from using cellular or wireless communications devices while on the NYSE [Amex]American Options Trading Floor. Those members and employees of member organizations that are also registered to trade options on NYSE [Amex]American are permitted to use cellular or wireless communications devices while on the NYSE [Amex]American Options Trading Floor in accordance with applicable NYSE [Amex]American Options rules and regulations.

.70 Use and Possession of Wireless Hand-Held Devices.

(a)(i) Members and employees of member organizations are prohibited from using or possessing any wireless hand-held device ("hand-held device") that may be used to view or enter orders into the Exchange's automated trading systems while on the NYSE [Amex]American Options Trading Floor.

(ii) Members and employees of member organizations are also prohibited from using or possessing any hand-held device that may be used to view or enter orders into the NYSE [Amex]American Options automated trading systems while on the Exchange's Trading Floor.

(iii) These prohibitions apply to any and all hand-held devices, including hand-held devices issued by the Exchange or NYSE American[MKT], and hand-held devices that are proprietary to a member, member organization or other entity.

Rule 70. Execution of Floor Broker Interest

••• *Supplementary Material:* -----

.40 Operation of an Exchange Approved Booth Premise

(3) A member organization approved to operate booth premises pursuant to this rule is prohibited from effecting any transaction from its approved booth premises for its own account, the account of an associated person or an account with respect to which it or an associated person thereof exercises investment discretion on the Exchange, except that such member organization may effect such transactions in the common, preferred, and debt securities of an operating company that is quoted on the OTC Bulletin Board or OTC Markets ("OTC Security") if such security is not related to a security listed or traded on the Exchange or NYSE [MKT]American LLC ("NYSE [MKT]American"). For purposes of Rule 70.40, an OTC Security is related to a security listed or traded on the Exchange or NYSE [MKT]American if:

- (a) the OTC Security is issued by an issuer of a security that is listed or traded on the Exchange or NYSE [MKT]American or that underlies an NYSE [Amex]American option, or an affiliate of such issuer;
- (b) the OTC Security is subject to a corporate action that relates to the issuer of a security that is listed or traded on the Exchange or NYSE [MKT]American or that underlies an NYSE [Amex]American option, or an affiliate of such issuer;
- (c) the OTC Security is issued by an issuer of a security that is a component of a narrow-based security index (as defined in Section 3(a)(55) of the Securities Exchange Act of 1934) that is linked to a security that listed or traded on the Exchange or NYSE [MKT]American or that underlies an NYSE [Amex]American option; or

(d) the OTC Security is issued by a foreign issuer or is a depositary receipt (or the equivalent thereof) for such a security, and a security issued by such foreign issuer or a depositary receipt (or the equivalent thereof) for such a security is listed or traded on the Exchange or NYSE [MKT]American or underlies an NYSE [Amex]American option.

For purposes of Rule 70.40, a corporate action is any action by an issuer of an OTC Security or a security listed or traded on the Exchange or NYSE [MKT]American that causes a relationship between the price of the OTC Security and the price of the security that is listed or traded on the Exchange or NYSE [MKT]American or that underlies an NYSE [Amex]American option, such as the announcement of a merger, acquisition, joint venture, spinoff, dissolution, bankruptcy filing or other similar type of event involving the issuers. With respect to trading in an OTC Security, such written procedures must require the member organization to exercise due diligence before commencing trading from the booth premises pursuant to this Rule to ensure that such trading is in compliance with the requirements of this Rule and that the member organization has procedures to monitor its trading activity in order to remain in compliance. A member organization must have supervisory systems in place that produce records sufficient to reconstruct, in a time-sequenced manner, all orders with respect to which the member organization is trading from the booth premises under this Rule. The member organization must be able to demonstrate which OTC Security transactions were effected from the booth premises (as compared to off-Floor trading, if applicable). If the member organization cannot demonstrate which trading is from the booth premises, the Exchange shall presume that all such trading was effected from the booth premises.

Rule 98. Operation of a DMM Unit

(c) Operation of a DMM unit.

(6) The DMM unit may not operate as a specialist or market maker on the Exchange or the NYSE [MKT]American LLC equities or options trading floors in related products, unless specifically permitted in Exchange rules.

Rule 103. Registration and Capital Requirements of DMMs and DMM Units

••• *Supplementary Material:* -----

DMM Financial Requirements

.20

(b) Minimum Net Liquid Assets Requirements

(6) In calculating Net Liquid Assets under this rule, a DMM unit that also operates a DMM unit on the NYSE [MKT]American LLC ("NYSE [MKT]American") is entitled to add back to Excess Net Capital the lesser of (1) actual haircuts under SEC Net Capital Rule 15c3-1 on its NYSE [MKT]American DMM dealer positions, or (2) the NYSE [MKT]American DMM tentative net capital requirement calculated according to NYSE [MKT]American Rule 103.20 - Equities.

Rule 103B. Security Allocation and Reallocation

IX. PROVISIONS FOR ALLOCATION OF LISTING COMPANIES TRANSFERRING FROM NYSE [MKT]American LLC ("NYSE [MKT]American") TO THE NYSE

(A) If a listing company transferring from NYSE [MKT]American to the NYSE was assigned a NYSE [MKT]American DMM unit, which is also a registered DMM unit on the NYSE, then the listing company may waive the allocation process as described above and select as its registered DMM unit the same unit that was previously assigned as the NYSE [MKT]American DMM unit. Alternatively, the listing company may choose to follow the regular allocation process and refer the matter for allocation through the allocation process pursuant to NYSE Rule 103B, Section III.

(B) If the listing company chooses to have its DMM unit selected by the Exchange pursuant to NYSE Rule 103B, Section III(B), and requests not to be allocated to the DMM unit that was its NYSE [MKT]American DMM unit, such request will be honored.

Rule 300. Trading Licenses

••• Supplementary Material -----

.10T This Rule 300.10T shall apply to each NYSE [Amex]American LLC member organization that (i) has been or seeks to be approved as a member organization of the Exchange pursuant to Rule 2.10; (ii) was a holder of a valid permit to trade on the NYSE [Amex]American LLC systems and facilities located at 86 Trinity Place ("86 Trinity Permit") as of the date that the NYSE [Amex]American member organization applied for a trading license under this Rule; and (iii) does not meet Exchange member organization qualifications under Exchange rules. Within six months of the earlier of either receiving a trading license issued by the Exchange under this Rule or the cancellation of 86 Trinity Permits, such member organizations shall comply with all applicable Exchange membership requirements. If such a member organization fails to comply with applicable Exchange membership requirements by the expiration of the applicable grace period, such member organization shall not be entitled to effect transactions on the Floor of the Exchange, and the Exchange may commence proceedings consistent with its rules to revoke the membership of such member organization.
