

Additions: Underlined  
Deletions: [Bracketed]

Rules of New York Stock Exchange LLC

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**Rule 98. Operation of a DMM Unit**

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**(c) Operation of a DMM unit.**

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(5) The member organization must daily provide the Exchange with net position information in DMM securities by the DMM unit and any independent trading unit of which it is part for such time periods and in the manner prescribed by the Exchange.

(A) The phrase “net position information in DMM securities” in subsection (c)(5) means the DMM unit’s inventory of securities exclusive of pending, unexecuted orders and, as used in this Rule, is independent of any reference to position information in connection with an interpretation of Rule 7.16 or Regulation SHO. Consistent with Rule 7.16(c), a member organization must mark all sell orders as “long,” “short” or “short exempt” in accordance with the provisions of Rule 200 of Regulation SHO and related SEC FAQs 2.5, 2.5A, 2.5B, 2.5C and 2.6.

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**Rule 104. Dealings and Responsibilities of DMMs**

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**(g) Transactions by DMMs**

(1) Transactions on the Exchange by a DMM for the DMM's account are to be effected in a reasonable and orderly manner in relation to the condition of the general market and the market in the particular stock.

(A) An "Aggressing Transaction" is a DMM unit transaction that:

- (i) is a purchase (sale) that reaches across the market to trade as the contra-side to the Exchange published offer (bid); and
- (ii) is priced above (below) the last differently-priced trade on the Exchange and above (below) the last differently-priced published offer (bid) on the Exchange.

(B) *Prohibited Transactions.* Aggressing Transactions during the last ten minutes prior to the scheduled close of trading that would result in a new high (low) price for a security on the Exchange for the day at the time of the DMM's transaction are prohibited, unless such transaction would match another market's better bid or offer price, bring the price of that security into parity with an underlying or related security or asset, or would liquidate or decrease the position of the DMM unit.

(i) The phrase “the position of the DMM unit” in subsection (g)(1)(B) means the DMM unit’s inventory of securities exclusive of pending, unexecuted orders and has the same meaning as “net position information in DMM securities” in Rule 98(c)(5).

(2) - (3) No Change

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