

New text is underlined;  
Deleted text is in [brackets]

**Text of the Proposed Rule Change**

**NYSE MKT Rules**

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**Trading of Option Contracts**

**Section 900NY. Rules Principally Applicable to Trading of Option Contracts**

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**956.1NY Automated Submission of Trading Data**

An ATP Holder or associated person of an ATP Holder must submit such trade data elements specified in Commentary .01 below in such automated format as may be prescribed by the Exchange from time to time, in regard to such transaction or transactions as may be the subject of a particular request for information made by the Exchange. Failure to submit such data in the required format will be considered obstructive of an Exchange inquiry or investigation and subject to formal disciplinary action.

**Commentary .01**

- (A) If the transaction was a proprietary transaction effected or caused to be effected by the ATP Holder or for any account in which such ATP Holder or associated person of an ATP Holder is directly or indirectly interested, such ATP Holder shall submit or cause to be submitted the following information:
- (i) Clearing house number, or alpha symbol, as used by the ATP Holder submitting the data;
  - (ii) Clearing house number(s), or alpha symbol(s) as may be used from time to time, of the ATP Holder(s) on the opposite side of the transaction;
  - (iii) Identifying symbol assigned to the security;
  - (iv) Date transaction was executed;
  - (v) Number of shares, or quantity of bonds or option contracts for each specific transaction and whether each transaction was a purchase, sale,

short sale and, if an option contract, whether open long or short or close long or short;

- (vi) Transaction price;
  - (vii) Account number; and
  - (viii) Market center where transaction was executed.
- (B) If the transaction was effected or caused to be effected by the ATP Holder for any customer account, such ATP Holder shall submit or cause to be submitted the following information:
- (i) Data elements (i) through (viii) as contained in paragraph (A) above; and
  - (ii) Customer name, address(es), branch office number, registered representative number, whether order was solicited or unsolicited, date account opened and employer name and the tax identification number(s).
  - (iii) If transaction was effected for a customer of a broker-dealer, whether the broker-dealer was acting as principal or agent on the transaction that is the subject of the Exchange's request.
- (C) In addition to the above trade data elements, an ATP Holder shall submit such other information in such automated format as may be prescribed by the Exchange, as may from time to time be required.
- (D) The Exchange may grant exceptions, in such cases and for such time periods as it deems appropriate, from the requirement that the data elements prescribed in paragraphs (A) and (B) above be submitted to the Exchange in an automated format.