

Additions: Underlined  
 Deletions: [Bracketed]

## Rules of New York Stock Exchange LLC

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### Rule 4530. Reporting Requirements

(a) Each member organization shall promptly report to the Exchange, but in any event not later than 30 calendar days, after the member organization knows or should have known of the existence of any of the following:

(1) the member organization or an associated person of the member organization:

(A) through (G) No Change.

(H) is (i) subject to a “statutory disqualification” as that term is defined in the Exchange Act[,] or [is](ii) involved in the sale of any financial instrument, the provision of any investment advice or the financing of any such activities with any person [who]that is[,] subject to a “statutory disqualification” as that term is defined in the Exchange Act, provided, however, that this requirement shall not apply to activities with a member organization or an associated person that has been approved (or is otherwise permitted pursuant to Exchange rules and the federal securities laws) to be a member organization or to be associated with a member organization. The report shall include the name of the person subject to the statutory disqualification and details concerning the disqualification; or

(2) No Change.

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(e) Nothing contained in this Rule shall eliminate, reduce or otherwise abrogate the responsibilities of a member organization or person associated with a member organization to promptly disclose required information on the Forms BD, U4 or U5, as applicable, to make any other required filings or to respond to the Exchange with respect to any customer complaint, examination or inquiry. In addition, member organizations are required to comply with the reporting obligations under paragraphs (a), (b) and (d) of this Rule, regardless of whether the information is reported or disclosed pursuant to any other rule or requirement, including the requirements of the Form[s] BD [or U4]. However, a member organization need not report an event otherwise required to be reported under (1) paragraph (a)(1) of this Rule if the member organization discloses the

event on the Form U4, consistent with the requirements of that form, and indicates, in such manner and format that the Exchange may require, that such disclosure satisfies the requirements of paragraph (a)(1) of this Rule, as applicable; or (2) paragraphs (a) or (b) of this Rule if the member organization discloses the event on the Form U5, consistent with the requirements of that form.

(f) - (g) No change.

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••• *Supplementary Material:*

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.10 Meaning of “associated person of the member organization.” For purposes of this Rule, the term “associated person of the member organization” shall have the same meaning as the terms “person associated with a member” or “associated person of a member” as defined in Article I (rr) of the FINRA By-Laws.

.11 For purposes of paragraphs (a)(1)(A), (C) and (D) of this Rule only, member organizations are not required to report findings and actions by the Exchange or by FINRA.

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