

Additions underlined.  
Deletions [bracketed].

Rules of New York Stock Exchange LLC

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**[Rule 410B. Reports of Listed Securities Transactions Effected Off the Exchange**

(a) Transactions in securities listed for trading on the Exchange effected for the account of a member or member organization, or for the account of a customer of a member or member organization, that are not reported to the Consolidated Tape, shall be reported by such member or member organization to the Exchange in the manner and within the timeframes required by this rule. In transactions between two members, a member and a member organization or two member organizations, only the member or member organization on the sell side is required to report.

(b) Transactions in listed securities required to be reported by paragraph (a) shall be reported to the Exchange by the close of the next business day that the Exchange is open.

(c) All reports of transactions required by this rule shall be transmitted to the Exchange through the electronic system(s) designated by the Exchange for such reporting.

(d) Each report required by this rule must contain the following information:

(1) Time and date of the transaction;

(2) Stock symbol of the listed security;

(3) Number of shares;

(4) Price of the transaction (see paragraph (e) below);

(5) Marketplace where the transaction was executed (see (f) below);

(6) An indication whether the transaction was a buy (B), sell (S) or cross (C);

(7) An indication whether the transaction was executed as principal or agent; and

(8) The name of the contra-side broker-dealer to the trade.

(e) The price at which a transaction is reported shall exclude any commissions, mark-up, mark-down or service charges.

(f) Transactions executed in the domestic over-the-counter market must be designated "OTC-USA". Transactions executed on an exchange in a foreign country must show the country and marketplace where executed. (Example— "United Kingdom Exchange"). Transactions executed over-the-counter in a foreign market must be designated with the country and "OTC". (Example— "Japan OTC").

(g) The following transactions need not be reported pursuant to this Rule:

(1) odd-lot transactions;

(2) transactions which are part of a primary distribution by an issuer or of a registered secondary distribution (other than "shelf distributions") or of an unregistered secondary distribution effected off the floor of an exchange;

(3) transactions made in reliance on Section 4(2) of the Securities Act of 1933;

(4) transactions where the buyer and seller have agreed to trade at a price substantially unrelated to the current market for the security, e.g., to enable the seller to make a gift;

(5) the acquisition of securities by a member as principal in anticipation of making an immediate exchange distribution or exchange offering on an exchange;

(6) purchases of securities off the floor of an exchange pursuant to a tender offer.

••• *Supplementary Material:* -----

.10 As to paragraph (d)(8) above, if there is no contra broker-dealer to the trade, the notation "none" should be made.]

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**Rule 9217. Violations Appropriate for Disposition Under Plan Pursuant to SEA  
Rule 19d-1(c)(2)**

Any member organization or covered person may be subject to a fine under Rule 9216(b) with respect to any rules listed below.

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[• Rule 410B requirements to report transactions in Exchange listed securities not otherwise reported to the Consolidated Tape.]