

Additions: Underlined  
Deletions: [Bracketed]

## Rules of New York Stock Exchange LLC

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### Access to and Communication with Floor (Rules 35—38)

#### Rule 35. Floor Employees To Be Registered

No employee of a member or member organization shall be admitted to the Floor unless he is registered with, qualified by and approved by the Exchange, and upon compliance of both the employer and employee with such requirements as the Exchange may determine.

• • • Supplementary Material:

**.10 [Floor tickets.]**— No Floor employee of a member or member organization will be admitted to the Floor unless he displays a Floor ticket issued by the Exchange.

Each Floor employee may have one, and only one, ticket.

The following types of tickets may be issued and the charges therefor will be billed on statements rendered by the Exchange:

#### **Regular**

#### **Special**

A description of the various types of tickets follows:

(1) Regular tickets admit holders to the telephone booths around the perimeter of the stock trading Floor, and the area behind the stock trading posts. They are issued only to employees of members or member organizations that are assigned telephone or post spaces.

(2) Special tickets admit holders to any location regularly occupied by the holder of a Regular ticket, only for the purpose of assisting or relieving a Floor employee of the same member or member organization. The issuance of each ticket of this type is subject to the prior approval of the Exchange. Special tickets may be cancelled by the Exchange at any time.

A member or member organization desiring to obtain a Floor ticket for an employee must make written application on a form which may be obtained from The Floor Division.

If the issuance of the ticket applied for is approved, the application and agreement remain in force until the cancellation of the ticket either by notice of the applicant to the Exchange or by notice of the Exchange to the applicant.

The application, in the absence of any notice of cancellation of the ticket either by the applicant or the Exchange, is regarded as authority to the Exchange to bill the applicant at the current rate for the type of ticket specified.

The applicant must, upon notice of cancellation either from the applicant to the Exchange or from the Exchange to the applicant, immediately surrender the ticket issued.

The right of the Floor employee to exercise the privilege granted by the ticket is contingent upon passing an annual physical examination by the medical clinic located in the Exchange building. Failure of the Floor employee to have such examination when notified by the medical clinic may result in the cancellation of the ticket.

The ticket is valid until the end of the fourth calendar year following the date of its issuance. If a ticket of one kind is outstanding in the name of an individual no different kind of ticket will be issued in the same name unless and until the first ticket is surrendered for cancellation.

All tickets cancelled before expiration must be surrendered to The Floor Division. On expiration all tickets must be surrendered to The Floor Division.]

**[.20 Regulations pertaining to Floor employees.—**All Floor employees of members and member organizations must be at their booths or posts on the Floor one-half hour prior to the opening of business or such earlier time as the Exchange may from time to time direct.

Each member or member organization having a telephone space on the Floor must keep at least one Floor employee on the Floor for fifteen minutes (or such longer period as may be set by the Exchange because of unusual circumstances) following the close of the market each day or until all reports due said member or member organization have been received, whichever time is later. Floor employees of members and member organizations are not allowed to be upon or to cross the trading area of the Floor for any purpose during the period between ten minutes preceding the opening of the market and five minutes following the close of the market, other than as specified in the Exchange's Floor Conduct and Safety Guidelines.

Floor employees who, because of illness or injury, are relieved from duty by the medical clinic located in the Exchange building, must report to that clinic before returning to duty. Floor employees who, because of illness or injury, are absent for more than two days, without having previously reported to the medical clinic located in the Exchange building, must likewise report to that clinic before returning to duty.

Members and member organizations should instruct their Floor employees that they must keep a day's supply of stationery on hand, and that arrangements should be made for this stationery to be delivered to the Exchange either after the close by the employer's messengers or one-half hour prior to the opening of business by the Floor employees.]

Floor employees may not make bids or offers nor may any employee interfere with any order during its transmission.

**[.30 Employee Floor Tickets.**—Each Floor employee must wear an identifying ticket while on the Floor. The ticket must bear:

- (1) The clerk's name;
- (2) a description of the type of ticket held;
- (3) the name of the employer.

In addition, each type of ticket must be of a distinctive color, i.e.,

Regular	Yellow
Special	Red

Floor tickets must be ordered through the Exchange.

The use of altered or mutilated tickets is prohibited.]

**[.40].20 Personnel available to DMM units on the Floor.**—Each DMM unit shall have: (1) at least one employee approved by the Exchange for admittance to the Floor for every Post space assigned to the unit, and (2) an adequate number of additional approved employees to provide proper service during the trading day.

Each DMM unit having insufficient office personnel available for the Floor in an emergency situation shall, within such reasonable period of time as the Exchange shall determine, make arrangements with other DMMs or with its clearing firm to assure that proper service will be rendered to members and member organizations should an emergency situation arise.

**[.50].30 Applications for Registration.**—Registration applications for all employees of members and member organizations for admission to the Floor shall be submitted to the Exchange on the Uniform Application for Securities Industry Registration or Transfer (Form U-4).

**[.60 ].40 Qualifications for Registration.**—Unless otherwise determined by the Exchange, each candidate for registration shall qualify by meeting the training requirements and by passing applicable qualification examination(s) as prescribed by the Exchange.

**[.70 ].50 Fingerprinting.**— All Floor employees of members and member organizations and all employees of members and member organizations who have submitted registration applications for admission to the Floor are required to be fingerprinted through an agent acceptable to the Exchange and to submit, or cause to be submitted, a report of such fingerprinting for appropriate processing. No applicant who has not previously been fingerprinted shall be admitted to the Floor until the results of the foregoing fingerprinting have been posted to the Central Registration Depository, reviewed and approved by the Exchange. An applicant previously fingerprinted may receive conditional approval to go upon the Floor, pending review and

approval of the foregoing fingerprint report, provided that such applicant was employed by a member or registered broker-dealer within ninety days of the application.

Applicants whose fingerprint reports are deemed illegible pursuant to Rule 17f-2(a)(1)(iv) of the Exchange Act must submit an alternative background check acceptable to the Exchange covering the same factors as the fingerprint report. No applicant shall be admitted to the Floor until the results of the background check are reviewed and approved by the Exchange, provided that an applicant who has previously supplied an acceptable background check may receive conditional approval to go upon the Floor, pending review and approval of the new background check, provided that such applicant was employed by a member or registered broker dealer within ninety days of the application.

**[.80].60** Notifications to Security Office and Return of Exchange-Issued Identification Cards In the event of:

- (1) A Floor member's or employee's termination, or
- (2) Cancellation of a member's or employee's Exchange-issued identification card prior to expiration, or
- (3) A member or member organization's re-assignment of a Floor member or employee to non-Floor functions

Members and member organizations must notify the Exchange's Security Office of the termination, cancellation, or re-assignment, and must surrender the member's or employee's Exchange-issued identification card to the Exchange's Security Office, within 24 hours of the termination, cancellation, or re-assignment.

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