

Additions are underlined;
Deletions are [bracketed].

Rules of NYSE Amex LLC

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Rule 993NY. Operation of Routing Broker

(a) Outbound Routing Function

(1) (A) The Routing Broker(s) will receive routing instructions from the Exchange, to route orders to other market centers and report such executions back to the Exchange. Except as provided in paragraph (a)(1)(B) below, [T]the Routing Broker(s) cannot change the terms of an order or the routing instructions, nor does the Routing Broker(s) have any discretion about where to route an order.

(B) In the sole discretion of the Routing Broker(s), pursuant to risk management controls and supervisory procedures maintained by the Routing Broker(s) pursuant to SEC Rule 15c3-5, the Routing Broker(s) may reject any order or series of orders as necessary to manage the financial, regulatory, and other risks of the Routing Brokers(s) providing “market access,” as that term is defined in SEC Rule 15c3-5(a)(1).

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