

Required fields are shown with yellow backgrounds and asterisks.

Proposed Rule Change by NYSE MKT LLC.
Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial *	Amendment *	Withdrawal	Section 19(b)(2) *	Section 19(b)(3)(A) *		Section 19(b)(3)(B) *
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Rule		<input type="checkbox"/>
Pilot	Extension of Time Period for Commission Action *	Date Expires *	19b-4(f)(1)	19b-4(f)(2)	19b-4(f)(3)	19b-4(f)(4)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
			19b-4(f)(5)	19b-4(f)(6)		
			<input type="checkbox"/>	<input type="checkbox"/>		

Exhibit 2 Sent As Paper Document	Exhibit 3 Sent As Paper Document
<input type="checkbox"/>	<input type="checkbox"/>

Description
Provide a brief description of the proposed rule change (limit 250 characters, required when Initial is checked *).

Proposal to make certain conforming changes to its rules following the change in the name of the Exchange from NYSE Amex LLC to NYSE MKT LLC

Contact Information
Provide the name, telephone number and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the proposed rule change.

First Name * Last Name *
Title *
E-mail *
Telephone * Fax

Signature
Pursuant to the requirements of the Securities Exchange Act of 1934,

has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized officer.

Date
By Vice President
(Name *) (Title *)

NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.

NYX Sudhir Bhattacharyya,

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EFFF website.

Form 19b-4 Information (required)

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The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act.

Exhibit 1 - Notice of Proposed Rule Change (required)

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The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications

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Exhibit Sent As Paper Document

Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G.

Exhibit 3 - Form, Report, or Questionnaire

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Exhibit Sent As Paper Document

Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change.

Exhibit 4 - Marked Copies

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The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working.

Exhibit 5 - Proposed Rule Text

Add Remove View

The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change.

Partial Amendment

Add Remove View

If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

1. Text of the Proposed Rule Change

- (a) NYSE MKT LLC (“NYSE MKT” or “Exchange”) proposes to make certain conforming changes to its rules following the change in the Exchange’s name from NYSE Amex LLC (“NYSE Amex”) to NYSE MKT LLC. The text of the proposed rule change is attached as Exhibit 5. A copy of this filing is available on the Exchange’s website at www.nyse.com, at the Exchange’s principal office, and at the Public Reference Room of the Securities and Exchange Commission (“Commission”).
- (b) The Exchange does not believe that the proposed rule change will have any direct effect, or any significant indirect effect, on any other Exchange rule in effect at the time of this filing.
- (c) Not applicable.

2. Procedures of the Self-Regulatory Organization

Senior management has approved the proposed rule change pursuant to authority delegated to it by the Board of the Exchange. No further action is required under the Exchange’s governing documents. Therefore, the Exchange’s internal procedures with respect to the proposed rule change are complete.

The person on the Exchange staff prepared to respond to questions and comments on the proposed rule change is:

Elad Roisman
Chief Counsel
Legal & Government Affairs
NYSE Euronext
(212) 656-5658

3. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

(a) Purpose

The Exchange proposes to make certain conforming changes to its rules following the change in the Exchange’s name from NYSE Amex to NYSE MKT LLC.¹

As part of the Exchange’s name change, the Exchange simplified cross-references within the Exchange’s rules. The Exchange shortened references to “NYSE Amex Equities” to “Equities” (e.g., Rule 0 - NYSE Amex Equities became Rule 0

¹ See Securities Exchange Act Release No. 67037 (May 21, 2012), 77 FR 31415 (May 25, 2012) (SR-NYSEAmex-2012-32).

– Equities). The Exchange proposes to change several remaining cross-references to certain NYSE Amex Equities rules in Rules 17 - Equities, 80B - Equities, 107B - Equities, 107C - Equities, 127 - Equities, 128 - Equities, 241 - Equities, 250 - Equities, 273 - Equities, 432 - Equities, and 502 - Equities. Lastly, the Exchange proposes to replace a reference to “Amex” in Rule 193 and references to “NYSE Amex Equities” and “NYSE Amex” in Rule 107C - Equities with references to “Exchange.”

(b) Statutory Basis

The Exchange believes that the proposed rule change is consistent with Section 6(b) of the Securities Exchange Act of 1934 (the “Act”),² in general, and Section 6(b)(5) of the Act,³ in particular, in that it is designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, to foster cooperation and coordination with persons engaged in facilitating transactions in securities, to remove impediments to and perfect the mechanism of a free and open market and a national market system and, in general, to protect investors and the public interest. The Exchange is proposing certain conforming changes that would make the rule text more uniform, which is in the public interest.

4. Self-Regulatory Organization’s Statement on Burden on Competition

The Exchange does not believe that the proposed rule change will impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

5. Self-Regulatory Organization’s Statement on Comments on the Proposed Rule Change Received from Members, Participants or Others

The Exchange has neither solicited nor received written comments on the proposed rule change.

6. Extension of Time Period for Commission Action

Not applicable.

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)

The foregoing proposed rule change is concerned solely with the administration of the Exchange pursuant to Section 19(b)(3)(A)(iii)⁴ of the Act and Rule 19b-

² 15 U.S.C. 78f(b).

³ 15 U.S.C. 78f(b)(5).

⁴ 15 U.S.C. 78s(b)(3)(A)(iii).

4(f)(3)⁵ thereunder. Accordingly, the proposal will take effect upon filing with the Commission. At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

Not applicable.

9. Exhibits

Exhibit 1 – Form of Notice of Proposed Rule Change for Publication in the Federal Register

Exhibit 5 – Text of Proposed Changes

⁵ 17 CFR 240.19b-4(f)(3).

SECURITIES AND EXCHANGE COMMISSION
(Release No. 34- ; File No. SR-NYSEMKT-2012-38)

[Date]

Self-Regulatory Organizations; NYSE MKT LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change Making Certain Conforming Changes to Its Rules Following the Change in the Exchange's Name from NYSE Amex LLC ("NYSE Amex") to NYSE MKT LLC

Pursuant to Section 19(b)(1)¹ of the Securities Exchange Act of 1934 (the "Act")² and Rule 19b-4 thereunder,³ notice is hereby given that on August 9, 2012, NYSE MKT LLC (the "Exchange" or "NYSE MKT") filed with the Securities and Exchange Commission (the "Commission") the proposed rule change as described in Items I, II, and III below, which Items have been prepared by the self-regulatory organization. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to make certain conforming changes to its rules following the change in the Exchange's name from NYSE Amex LLC ("NYSE Amex") to NYSE MKT LLC. The text of the proposed rule change is available on the Exchange's website at www.nyse.com, at the principal office of the Exchange, and at the Commission's Public Reference Room.

¹ 15 U.S.C.78s(b)(1).

² 15 U.S.C. 78a.

³ 17 CFR 240.19b-4.

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the self-regulatory organization included statements concerning the purpose of, and basis for, the proposed rule change and discussed any comments it received on the proposed rule change. The text of those statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant parts of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and the Statutory Basis for, the Proposed Rule Change

1. Purpose

The Exchange proposes to make certain conforming changes to its rules following the change in the Exchange's name from NYSE Amex to NYSE MKT LLC.⁴

As part of the Exchange's name change, the Exchange simplified cross-references within the Exchange's rules. The Exchange shortened references to "NYSE Amex Equities" to "Equities" (e.g., Rule 0 - NYSE Amex Equities became Rule 0 - Equities). The Exchange proposes to change several remaining cross-references to certain NYSE Amex Equities rules in Rules 17 - Equities, 80B - Equities, 107B - Equities, 107C - Equities, 127 - Equities, 128 - Equities, 241 - Equities, 250 - Equities, 273 - Equities, 432 - Equities, and 502 - Equities. Lastly, the Exchange proposes to replace a reference to "Amex" in Rule 193 and references to "NYSE Amex Equities" and "NYSE Amex" in Rule 107C - Equities with references to "Exchange."

⁴ See Securities Exchange Act Release No. 67037 (May 21, 2012), 77 FR 31415 (May 25, 2012) (SR-NYSEAmex-2012-32).

2. Statutory Basis

The Exchange believes that the proposed rule change is consistent with Section 6(b) of the Securities Exchange Act of 1934 (the “Act”),⁵ in general, and Section 6(b)(5) of the Act,⁶ in particular, in that it is designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, to foster cooperation and coordination with persons engaged in facilitating transactions in securities, to remove impediments to and perfect the mechanism of a free and open market and a national market system and, in general, to protect investors and the public interest. The Exchange is proposing certain conforming changes that would make the rule text more uniform, which is in the public interest.

B. Self-Regulatory Organization's Statement on Burden on Competition

The Exchange does not believe that the proposed rule change will impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

No written comments were solicited or received with respect to the proposed rule change.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

The foregoing proposed rule change is concerned solely with the administration of the Exchange pursuant to Section 19(b)(3)(A)(iii)⁷ of the Act and Rule 19b-4(f)(3)⁸

⁵ 15 U.S.C. 78f(b).

⁶ 15 U.S.C. 78f(b)(5).

⁷ 15 U.S.C. 78s(b)(3)(A)(iii).

thereunder. Accordingly, the proposal will take effect upon filing with the Commission. At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic comments:

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-NYSEMKT-2012-38 on the subject line.

Paper comments:

- Send paper comments in triplicate to Elizabeth M. Murphy, Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to File Number SR-NYSEMKT-2012-38. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent

⁸ 17 CFR 240.19b-4(f)(3).

amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Section, 100 F Street, NE, Washington, DC 20549-1090. Copies of the filing will also be available for inspection and copying at the NYSE's principal office and on its Internet website at www.nyse.com. All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR-NYSEMKT-2012-38 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.⁹

Kevin M. O'Neill
Deputy Secretary

⁹ 17 CFR 200.30-3(a)(12).

EXHIBIT 5

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

Rules of NYSE MKT LLC

Rule 193. Affiliated Persons of Specialists

(a)-(e) No change.

(f)(i) An approved person associated with a specialist member organization ("Affiliated Specialist") that is entitled to an exemption from certain Exchange rules pursuant to Exchange Rule 193 shall notify the Exchange of its participation in any distribution or tender or exchange offer of any security covered by paragraph (f)(ii) of this rule, in such form and within such time frame as may be prescribed by the Exchange and shall provide the information required below:

1.-8. No change.

9. pricing basis (e.g., [Amex] Exchange or consolidated close)

Equities Rules

Rule 17 - Equities. Use of Exchange Facilities and Vendor Services

(a)-(b) No change.

(c) Operation of Routing Broker.

(1) Outbound Routing Function

(A) No change.

(B) The broker-dealer affiliate of the Exchange that acts as a Routing Broker will not engage in any business other than (a) the functions set forth in Rule 17(c) - [NYSE Amex] Equities; and (b) any other activities it may engage in as approved by the Commission.

(2) Inbound Routing Function

(A) For so long as the Exchange is affiliated with NYSE Arca, Inc. (“NYSE Arca”) and New York Stock Exchange, LLC (“NYSE”), and Archipelago Securities LLC (“Arca Securities”) in its capacity as a facility of NYSE Arca and NYSE is utilized for the routing of any approved types of orders from those exchanges to the Exchange (such function of Arca Securities is referred to as the “Inbound Router”), each of the Exchange and Arca Securities shall undertake as follows:

(i) No change.

(ii) The regulatory services agreement described in Rule 17(c)(2)(A)(i) - [NYSE Amex] Equities shall require the Exchange and the non-affiliated SRO to monitor Arca Securities for compliance with the Exchange’s trading rules, and collect and maintain all alerts, complaints, investigations and enforcement actions (collectively “Exceptions”) in which Arca Securities (in routing orders to the Exchange) is identified as a participant that has potentially violated applicable Exchange or SEC rules. The Exchange and the non-affiliated SRO shall retain these records in an easily accessible manner. The regulatory services agreement described in Rule 17(c)(2)(A)(i) - [NYSE Amex] Equities shall require that the non-affiliated SRO provide a report, at least quarterly, to the Chief Regulatory Officer of the Exchange quantifying all Exceptions (of which the Exchange and the non-affiliated SRO become aware) in which Arca Securities is identified as a participant that has potentially violated Exchange or SEC Rules.

Rule 80B - Equities. Trading Halts Due to Extraordinary Market Volatility

This Rule is effective until February 4, 2013

Rule 80B - Equities Trading Halts Due to Extraordinary Market Volatility

Operative as of February 4, 2013

(a)-(b) No change.

(c) Re-opening of Trading

(i) The re-opening of trading following a Level 1 or 2 trading halt shall follow the procedures set forth in Rule 123D - [NYSE Amex] Equities.

(d) Nothing in this Rule 80B - [NYSE Amex] Equities should be construed to limit the ability of the Exchange to otherwise halt, suspend, or pause the trading in any stock or stocks traded on the Exchange pursuant to any other Exchange rule or policy.

Rule 107B - Equities. Supplemental Liquidity Providers

(a)-(c) No change.

(d) Qualifications of an SLMM. A member organization may register as an SLMM in one or more securities traded on the Exchange in order to assist in the maintenance of a fair and orderly market insofar as reasonably practicable. To qualify as an SLMM, a member organization must meet the requirements of Rule 107B(c)(1), and (3) - (5) - [NYSE Amex] Equities and if approved as an SLMM, must:

(1) maintain continuous, two-sided trading interest in those securities in which the SLMM is registered to trade as an SLP (“Two-Sided Obligation”).

(A)-(B)(ii) No change.

(iii) For purposes of this Rule, the “Designated Percentage” shall be 8% for securities subject to Rule 80C(a)(i) - [NYSE Amex] Equities, 28% for securities subject to Rule 80C(a)(ii) - [NYSE Amex] Equities, and 30% for securities subject to Rule 80C(a)(iii) - [NYSE Amex] Equities, except that between 9:30 a.m. and 9:45 a.m. and between 3:35 p.m. and the close of trading, when Rule 80C - [NYSE Amex] Equities is not in effect, the Designated Percentage shall be 20% for securities subject to Rule 80C(a)(i) - [NYSE Amex] Equities, 28% for securities subject to Rule 80C(a)(ii) - [NYSE Amex] Equities, and 30% for securities subject to Rule 80C(a)(iii) - [NYSE Amex] Equities.

(iv) For purposes of this Rule, the “Defined Limit” shall be 9.5% for securities subject to Rule 80C(a)(i) - [NYSE Amex] Equities, 29.5% for securities subject to Rule 80C(a)(ii) - [NYSE Amex] Equities, and 31.5% for securities subject to Rule 80C(a)(iii) - [NYSE Amex] Equities, except that between 9:30 a.m. and 9:45 a.m. and between 3:35 p.m. and the close of trading, when Rule 80C - [NYSE Amex] Equities is not in effect, the Defined Limit shall be 21.5% for securities subject to Rule 80C(a)(i) - [NYSE Amex] Equities, 29.5% for securities subject to Rule 80C(a)(ii) - [NYSE Amex] Equities, and 31.5% for securities subject to Rule 80C(a)(iii) - [NYSE Amex] Equities.

Rule 107C - Equities. Retail Liquidity Program

(a) Definitions.

(1)-(3) No change.

(4) Retail Price Improvement Order. A “Retail Price Improvement Order” or “RPI” consists of non-displayed interest in [NYSE Amex Equities] Exchange traded securities (including but not limited to [NYSE Amex]Exchange-listed securities and securities listed on the Nasdaq Stock Market traded pursuant to unlisted trading privileges) that is priced better than the best protected bid (“PBB”) or best protected offer (“PBO”), as such terms are defined in Regulation NMS Rule 600(b)(57), by at least \$0.001 and that is identified as such. Exchange systems will monitor whether RPI buy or sell interest, adjusted by any offset and subject to the ceiling or floor price, is eligible to interact with incoming Retail Orders. An RPI remains non-displayed in its entirety (the buy or sell interest, the offset, and the ceiling or floor). An RLP shall only enter an RPI for securities to which it is assigned as RLP. Member organizations other than RLPs are permitted, but not required, to submit RPIs. An RPI may be an odd lot, round lot, or PRL.

(b)-(j) No change.

(k) Retail Order Designation. A Retail Member Organization can designate how a Retail Order will interact with available contra-side interest as follows:

(1) No change.

(2) Type 2. A Type 2-designated Retail Order will interact first with available contra-side Retail Price Improvement Orders and any remaining portion of the Retail Order will be executed as a Regulation NMS-compliant Immediate or Cancel Order pursuant to [NYSE Amex Equities] Rule 13 - Equities.

(3) Type 3. A Type 3-designated Retail Order will interact first with available contra-side Retail Price Improvement Orders and any remaining portion of the Retail Order will be executed as an Exchange Immediate or Cancel Order pursuant to [NYSE Amex Equities] Rule 13 - Equities.

Rule 127 - Equities. Block Crosses Outside the Prevailing Exchange Quotation

(a)-(d) No change.

(e) The requirements of Rule 76 - [NYSE Amex] Equities will not apply to executions made in accordance with this rule.

Rule 128 - Equities. Clearly Erroneous Executions For Equities

(a)-(b) No change.

(c) Thresholds. Determinations of a clearly erroneous execution will be made as follows:

(1) Numerical Guidelines. Subject to the provisions of paragraph (c)(3) below, a transaction executed during the regular trading hours of the Exchange and after hours of the Exchange shall be found to be clearly erroneous if the price of the transaction to buy (sell) that is the subject of the complaint is greater than (less than) the Reference Price by an amount that equals or exceeds the Numerical Guidelines set forth below. The execution time of the transaction under review determines whether the Numerical Guideline applied is the Regular Trading Hours or the After Hours of the Exchange. The Reference Price will be equal to the consolidated last sale immediately prior to the execution(s) under review except for: (A) Multi-Stock Events involving twenty or more securities, as described in (c)(2) below; (B) transactions not involving a Multi-Stock Event as described in paragraph (c)(2) that trigger a trading pause pursuant to Rule 80C(a)(i) - [NYSE Amex] Equities and subsequent transactions, as described in paragraph (c)(4) below, in which case the Reference Price shall be determined in accordance with that paragraph (c)(4); and (C) in other circumstances, such as, for example, relevant news impacting a security or securities, periods of extreme market volatility, sustained illiquidity, or widespread system issues, where use of a different Reference Price is necessary for the maintenance of a fair and orderly market and the protection of investors and the public interest.

(2) Multi-Stock Events Involving Twenty or More Securities. During Multi-Stock Events involving twenty or more securities the number of affected transactions may be such that immediate finality is necessary to maintain a fair and orderly market and to protect investors and the public interest. In such circumstances, the Exchange may use a Reference Price other than consolidated last sale. With the exception of those securities under review that are subject to an individual security trading pause pursuant to Rule 80C(a)(i) - [NYSE Amex] Equities as described in paragraph (c)(4) below, and to ensure consistent application across market centers when this paragraph is invoked, the Exchange will promptly coordinate with the other market centers to determine the appropriate review period, which may be greater than the period of five minutes or less that triggered application of this paragraph, as well as select one or more specific points in time prior to the transactions in question and use transaction prices at or immediately prior to the one or more specific points in time selected as the Reference Price. The Exchange will nullify as clearly erroneous all transactions that are at prices equal to or greater than 30% away from the Reference Price in each affected security during the review period selected by the Exchange and other markets consistent with this paragraph.

(3) Additional Factors. Except in the context of a Multi-Stock Event involving five or more securities, and individual security trading pauses pursuant to Rule 80C(a)(i) - [NYSE Amex] Equities as described in paragraph (c)(4) below, an Officer may also consider additional factors to determine whether an execution is clearly erroneous, including but not limited to, system malfunctions or disruptions, volume and volatility for the security, derivative securities products that correspond to greater than 100% in the direction of a tracking index, news released for the security, whether trading in the security was recently halted/resumed, whether the security is an IPO, whether the security was subject to a stock-split, reorganization, or other corporate action, overall market conditions, Opening and Late Session executions, validity of the consolidated tapes trades and quotes, consideration of primary market indications, Liquidity Replenishment Points (“LRPs”), Depth Guidelines and executions inconsistent with the trading pattern in the stock. Each additional factor shall be considered with a view toward maintaining a fair and orderly market and the protection of investors and the public interest.

Rule 241 - Equities. Added to Contract Price

Unless otherwise directed by the Exchange, in settlement of contracts in bonds dealt in “and interest” there shall be added to the contract price interest on the principal amount at the rate specified in the bond, which shall be computed up to but not including the day on which delivery is due, except that in the case of contracts made ‘seller’s option,’ as prescribed in [NYSE Amex Equities] Rule 14 - Equities such interest shall be computed only up to but not including the day when delivery would have been due if the contract had been made ‘regular way.

Rule 250 - Equities. Deliveries On or After Interest Dates

Bonds dealt in “and interest,” delivered on or after the date on which interest is due and payable, shall be without the coupons due on such date, with adjustment for the cash value of the coupons in determining the accrued interest payable as provided by Rule 241 - [NYSE Amex] Equities.

Rule 273 - Equities. Partial Call

Reclamation, by reason of the fact that a called security was delivered, which was not a delivery under the provisions of Rule 217 - [NYSE Amex] Equities, may be made without limit of time and such security may be returned to the party who held it at the time such security ceased to be a delivery.

Rule 432 - Equities. Daily Record of Required Margin

••• Supplementary Material:

.10-.20 No change.

.30 Meaning of the term “customer”.—For the purpose of Rule 432 - [NYSE Amex] Equities, the term “customer” has the same meaning as in Rule 431(a) - [NYSE Amex] Equities.

Rule 502 - Equities. Hours of Business

(a) The hours for the transaction of business involving Nasdaq Securities shall be in accordance with Rule 51 - [NYSE Amex] Equities.
