

Required fields are shown with yellow backgrounds and asterisks.

Page 1 of * 21

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
Form 19b-4

File No. * SR 2026 - * 29

Amendment No. (req. for Amendments *)

Filing by NYSE American LLC

Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial * <input checked="" type="checkbox"/>	Amendment * <input type="checkbox"/>	Withdrawal <input type="checkbox"/>	Section 19(b)(2) * <input type="checkbox"/>	Section 19(b)(3)(A) * <input checked="" type="checkbox"/>	Section 19(b)(3)(B) * <input type="checkbox"/>
--	---	--	--	--	---

Pilot <input type="checkbox"/>	Extension of Time Period for Commission Action * <input type="checkbox"/>	Date Expires * <input type="text"/>
-----------------------------------	--	--

Rule

<input type="checkbox"/> 19b-4(f)(1)	<input type="checkbox"/> 19b-4(f)(4)
<input type="checkbox"/> 19b-4(f)(2)	<input type="checkbox"/> 19b-4(f)(5)
<input type="checkbox"/> 19b-4(f)(3)	<input checked="" type="checkbox"/> 19b-4(f)(6)

Notice of proposed change pursuant to the Payment, Clearing, and Settlement Act of 2010 Section 806(e)(1) * <input type="checkbox"/>	Section 806(e)(2) * <input type="checkbox"/>
--	---

Security-Based Swap Submission pursuant to the Securities Exchange Act of 1934 Section 3C(b)(2) * <input type="checkbox"/>
--

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

Description

Provide a brief description of the action (limit 250 characters, required when Initial is checked *).

Proposal to amend Rules 353 and 931NY

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 action.

First Name *	Le-Anh	Last Name *	Bui
Title *	Director, Associate General Counsel		
E-mail *	Le-Anh.Bui@ice.com		
Telephone *	(202) 661-8953	Fax	(212) 656-8101

Signature

Pursuant to the requirements of the Securities Exchange of 1934, NYSE American LLC has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.

Date	04/13/2026	(Title *)
By	David De Gregorio (Name *)	Senior Director, Associate General Counsel

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

David De Gregorio	Digitally signed by David De Gregorio Date: 2026.04.13 15:28:21 -04'00'
-------------------	--

Required fields are shown with yellow backgrounds and astericks.

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

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

Form 19b-4 Information *

Add Remove View

19b-4 - NYSE American Weekly Bulletin

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 *

Add Remove View

Ex. 1 NYSE American Weekly Bulletin

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 1A - Notice of Proposed Rule Change, Security-Based Swap Submission, or Advanced Notice by Clearing Agencies *

Add Remove View

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

Add Remove View

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 Sent As Paper Document

Exhibit 3 - Form, Report, or Questionnaire

Add Remove View

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 Sent As Paper Document

Exhibit 4 - Marked Copies

Add Remove View

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

Ex. 5 - NYSE American Weekly Bulletin

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) Pursuant to the provisions of Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b-4 thereunder,² NYSE American, LLC (“NYSE American” or the “Exchange”) proposes to amend Rules 353 and 931NY to eliminate certain of the Exchange’s publication obligations as outdated and unnecessary.

A notice of the proposed rule change for publication in the Federal Register is attached hereto as Exhibit 1, and the text of the proposed rule change is attached as Exhibit 5.

- (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.

Questions and comments on the proposed rule change may be directed to:

Le-Anh Bui
Director, Associate General Counsel
NYSE Group, Inc.
(202) 661-8953

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

- (a) Purpose

The Exchange proposes to amend Rules 353 (American Trading Permit Requirements), and 931NY (Registration of Floor Brokers) to eliminate certain of the Exchange’s publication obligations as outdated and unnecessary. The Exchange also proposes related conforming changes to Rules 452 (Equities. Giving Proxies by Member Organizations) and 459 (Equities. Other Persons to File Information When Associate with Member).

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

Rule 353 describes the procedure for applying for status as an American Trading Permit (“ATP”) Holder on the Exchange. Subparagraph (2) under the “Admissions Procedure” section of Rule 353 provides that, in connection with an application for an ATP, there is a minimum posting period of seven days, which period may be extended by the Exchange when necessary, and that notice of the proposed issuance of an ATP must be posted in the Exchange’s Weekly Bulletin. This subparagraph further provides that the minimum posting period will be waived for prior active members. The Exchange proposes to delete the posting requirement set forth in this subparagraph (and to renumber the remaining subparagraphs accordingly) because the Exchange no longer accepts comments from ATP Holders in connection with the ATP application process; instead, the Exchange’s decisions regarding such applications are based on objective criteria set forth in its rules.³ The Exchange also currently maintains on its website an up-to-date online directory listing the name and contact information of each OTP Holder or OTP Firm (the “Membership Directory”).⁴ The Exchange believes that the Membership Directory, which is publicly available, has rendered the requirement to separately publish the names of newly approved ATP Holders redundant and inefficient. Accordingly, the Exchange believes that the requirements to post the names of ATP applicants and publish such names in the Weekly Bulletin are no longer necessary or relevant and proposes to delete these requirements to eliminate an unnecessary burden on Exchange resources.⁵

Rule 931NY(a) requires that an applicant for registration as a Floor Broker must file an application in writing with the Exchange on such form or forms as the Exchange may prescribe and must pass a Floor Broker examination prescribed by the Exchange. The rule further provides that, before a registration becomes effective, the Exchange will post the name of the applicant on the bulletin board on the Floor of the Exchange for three business days. The Exchange proposes to delete the posting requirement as set forth in Rule 931NY(a) because the Exchange no longer accepts comments in connection with Floor Broker applications; instead, the Exchange’s decisions regarding such applications are based solely upon objective criteria set forth in its rules.⁶ Accordingly, the Exchange believes the posting of the names of not-yet-approved Floor Broker applicants is no

³ See, e.g., Rule 353 (American Trading Permit Requirements).

⁴ See Membership Directory, available at: <https://www.nyse.com/trade/membership#directories>.

⁵ The Exchange previously filed to delete references to the Weekly Bulletin in its rules where the information that would have been reflected therein would be available on its website. See Securities Exchange Act Release No. 56947 (December 12, 2007), 72 FR 72419 (December 20, 2007) (SR-Amex-2007-134). The Exchange’s affiliate, NYSE Arca, Inc. (“NYSE Arca”), recently eliminated similar requirements to post the names of Options Trading Permit (“OTP”) applicants and publish the names of new OTP Holders and OTP Firms in its Weekly Bulletin. See Securities Exchange Act Release No. 105043 (March 18, 2026), 91 FR 13898 (March 23, 2026) (SR-NYSEARCA-2026-29) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Rules 2.4, 2.6, and 6.44-O To Eliminate Certain Outdated Publication Obligations). The Exchange further notes that Cboe Exchange, Inc. (“Cboe Options”) similarly no longer requires the publication of Trading Permit Holder applicants in its weekly bulletin or the posting of such applicants on its bulletin board. See Securities Exchange Act Release No. 71436 (January 29, 2014), 79 FR 6662 (February 4, 2014) (SR-CBOE-2014-009).

⁶ Per Rule 931NY(a), in addition to submitting a written application with the Exchange on such form or forms as the Exchange may prescribe, prospective Floor Brokers must pass a Floor Broker examination prescribed by the Exchange, which objective standard must be met for registration approval.

longer necessary or relevant.⁷ The Exchange therefore proposes to delete the portion of Rule 931NY(a) noted above, for the same reasons discussed above for the proposed deletion of subparagraph (2) under the “Admissions Procedures” section of Rule 353. The Exchange further notes that, as with ATP Holders, the Exchange currently maintains an up-to-date list of Floor Brokers in the Membership Directory on its website, which includes the names of each Floor Broker firm and contact information.⁸

Finally, with the proposed elimination of the publication and posting requirements in Rules 353 and 931NY as described above and given that the Exchange posts information relevant to market participants on its publicly available website, the Exchange also proposes to discontinue publication of the Weekly Bulletin and use of a physical bulletin board on the Trading Floor.⁹ To effect this change, the Exchange proposes to replace references to the Weekly Bulletin in Rules 452 and 459 with references to the Exchange’s website, where the information referenced in such rules will continue to be available.

(b) Statutory Basis

The Exchange believes that the proposed rule change is consistent with Section 6(b) of the Act,¹⁰ in general, and furthers the objectives of Section 6(b)(5) of the Act,¹¹ in particular, because 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 regulating, clearing, settling, processing information with respect to, and 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, and because it is not designed to permit unfair discrimination between customers, issuers, brokers, or dealers.

⁷ The Exchange notes that NYSE Arca also recently eliminated a similar requirement with respect to the posting of Floor Broker applicants’ names. See Securities Exchange Act Release No. 105043 (March 18, 2026), 91 FR 13898 (March 23, 2026) (SR-NYSEARCA-2026-29) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Rules 2.4, 2.6, and 6.44-O To Eliminate Certain Outdated Publication Obligations). The Exchange further notes that it has consulted the Floor Broker registration rules of other options exchanges that have a physical trading floor and determined that none include a similar posting requirement. See, e.g., Nasdaq Phlx LLC, Options 8, Section 6 (Registration of Floor Brokers); Cboe Options Rule 3.50(b) (Floor Brokers, Registration); BOX Exchange LLC Rule 7550 (Registration of Floor Brokers); MIAX Sapphire Options Exchange Rule 2020 (Registration of Floor Brokers).

⁸ See note 4, supra.

⁹ As noted above, the Exchange has previously eliminated references to the Weekly Bulletin in its rules where the information was available to market participants via its website, and both NYSE Arca and Cboe Options have similarly eliminated requirements to publish or post information in a weekly bulletin and/or on a physical bulletin board, based on the availability of such information via the exchange’s website. See note 5, supra.

¹⁰ 15 U.S.C. 78f(b).

¹¹ 15 U.S.C. 78f(b)(5).

The Exchange believes the proposed rule change would remove impediments to, and perfect the mechanism of, a free and open market and a national market system because it eliminates publication and posting requirements that are outdated, unduly burdensome, and redundant of information publicly available on the Exchange's website. With respect to the posting requirements for ATP and Floor Broker applicants, as set forth in Rules 353 and 931NY(a), respectively, the Exchange believes that the original rationale for posting such information—to put market participants on notice of certain applications and provide them an opportunity to submit comments to the Exchange regarding such applications—is no longer relevant, given that the Exchange no longer accepts such comments. Instead, as noted above, the Exchange evaluates ATP Holder and Floor Broker applications based on objective criteria set forth in Exchange rules. The Exchange thus believes that eliminating these requirements would streamline Exchange rules, while promoting clarity and transparency as to the Exchange's practices with respect to evaluating such applications. The Exchange also believes that the elimination of the requirement, as set forth in Rule 353, to publish new ATP Holders in the Exchange's Weekly Bulletin is similarly unnecessary given that the Exchange maintains an up-to-date Membership Directory on its website, which makes publicly available to market participants the names of approved ATP Holders. Thus, the Exchange believes the proposed change would likewise streamline Exchange rules by removing unnecessary and outdated requirements. Finally, the Exchange believes that the proposed change to discontinue publication of the Weekly Bulletin and use of a physical bulletin board on the Trading Floor would similarly remove impediments to, and perfect the mechanism of, a free and open market and a national market system because it would reduce an administrative burden on the Exchange without impacting the continued availability of relevant information to market participants via the Exchange's website.

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. The Exchange believes that the proposed rule change will not impose an undue burden on intramarket competition because the changes will impact all similarly situated market participants equally. The Exchange believes that the proposed rule change will not impose an undue burden on intermarket competition because it is intended to streamline Exchange rules by removing unnecessary and outdated requirements that other exchanges have similarly eliminated or otherwise do not have in their rules.¹²

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

¹² See notes 5 & 7, *supra*.

Not applicable.

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

The proposed rule change is effective upon filing pursuant to Section 19(b)(3)(A) of the Act¹³ and Rule 19b-4(f)(6) thereunder.¹⁴ The Exchange asserts that the proposed rule change (i) will not significantly affect the protection of investors or the public interest, (ii) will not impose any significant burden on competition, and (iii) by its terms, will not become operative for 30 days after the date of this filing, or such shorter time as the Commission may designate, if consistent with the protection of investors and the public interest. Additionally, the Exchange provided the Commission with written notice of its intent to file the proposed rule change, along with a brief description and text of the proposed rule change, at least five business days prior to the date of the filing, or such shorter time as designated by the Commission.

The Exchange believes that the proposed rule change is a “non-controversial” rule change under paragraph (f)(6) of Rule 19b-4¹⁵ because it does not present any issues not previously considered by the Commission. The proposed change is intended to eliminate posting and publication requirements that are no longer relevant or necessary based on the Exchange’s current processes for evaluating ATP and Floor Broker applications and/or that are redundant of information publicly available on the Exchange’s website. The Exchange further believes that the proposed change is not controversial and will not impose an undue burden on competition because it is intended to streamline Exchange rules by removing unnecessary and outdated requirements that other exchanges have similarly eliminated or otherwise do not have in their rules.¹⁶

The Exchange respectfully requests that the Commission waive the 30-day operative delay so that the proposed rule change may become effective and operative upon filing with the Commission pursuant to Section 19(b)(3)(A) of the Act¹⁷ and paragraph (f)(6) of Rule 19b-4 thereunder.¹⁸ Waiver of the operative delay would allow the Exchange to remove outdated, overly burdensome obligations without delay, which will result in a more streamlined and transparent rule set to benefit of all market participants. Waiver of the operative delay is, therefore, consistent with the protection of investors and the public interest.

¹³ 15 U.S.C. 78s(b)(3)(A).

¹⁴ 17 CFR 240.19b-4(f)(6).

¹⁵ Id.

¹⁶ See notes 5 & 9, supra.

¹⁷ 15 U.S.C. 78s(b)(3)(A).

¹⁸ 17 CFR 240.19b-4(f)(6).

At any time within sixty (60) days of the filing of such proposed rule change, the Commission may summarily 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. Security-Based Swap Submissions Filed Pursuant to Section 3C of the Act

Not applicable.

10. Advanced Notices Filed Pursuant to Section 806(e) of the Payment, Clearing and Settlement Supervision Act

Not applicable.

11. Exhibits

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

Exhibit 5 – Text of the Proposed Rule Change

SECURITIES AND EXCHANGE COMMISSION
(Release No. 34- ; File No. SR-NYSEAMER-2026-29)

[Date]

Self-Regulatory Organizations; NYSE American LLC; Notice of Filing and Immediate Effectiveness of Proposed Change to Amend Rules 353 and 931NY

Pursuant to Section 19(b)(1)¹ of the Securities Exchange Act of 1934 (“Act”)² and Rule 19b-4 thereunder,³ notice is hereby given that, on April 13, 2026, NYSE American LLC (“NYSE American” or the “Exchange”) 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 amend Rules 353 and 931NY to eliminate certain of the Exchange’s publication obligations as outdated and unnecessary. The proposed rule change is available on the Exchange’s website at www.nyse.com and at the principal office of the Exchange.

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

¹ 15 U.S.C. 78s(b)(1).

² 15 U.S.C. 78a.

³ 17 CFR 240.19b-4.

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 amend Rules 353 (American Trading Permit Requirements), and 931NY (Registration of Floor Brokers) to eliminate certain of the Exchange's publication obligations as outdated and unnecessary. The Exchange also proposes related conforming changes to Rules 452 (Equities. Giving Proxies by Member Organizations) and 459 (Equities. Other Persons to File Information When Associate with Member).

Rule 353 describes the procedure for applying for status as an American Trading Permit ("ATP") Holder on the Exchange. Subparagraph (2) under the "Admissions Procedure" section of Rule 353 provides that, in connection with an application for an ATP, there is a minimum posting period of seven days, which period may be extended by the Exchange when necessary, and that notice of the proposed issuance of an ATP must be posted in the Exchange's Weekly Bulletin. This subparagraph further provides that the minimum posting period will be waived for prior active members. The Exchange proposes to delete the posting requirement set forth in this subparagraph (and to renumber the remaining subparagraphs accordingly) because the Exchange no longer accepts comments from ATP Holders in connection with the ATP application process; instead, the Exchange's decisions regarding such applications are based on objective criteria set forth in its rules.⁴ The Exchange also currently maintains on its website an up-to-date online

⁴ See, e.g., Rule 353 (American Trading Permit Requirements).

directory listing the name and contact information of each OTP Holder or OTP Firm (the “Membership Directory”).⁵ The Exchange believes that the Membership Directory, which is publicly available, has rendered the requirement to separately publish the names of newly approved ATP Holders redundant and inefficient. Accordingly, the Exchange believes that the requirements to post the names of ATP applicants and publish such names in the Weekly Bulletin are no longer necessary or relevant and proposes to delete these requirements to eliminate an unnecessary burden on Exchange resources.⁶

Rule 931NY(a) requires that an applicant for registration as a Floor Broker must file an application in writing with the Exchange on such form or forms as the Exchange may prescribe and must pass a Floor Broker examination prescribed by the Exchange. The rule further provides that, before a registration becomes effective, the Exchange will post the name of the applicant on the bulletin board on the Floor of the Exchange for three business days. The Exchange proposes to delete the posting requirement as set forth in Rule 931NY(a) because the Exchange no longer accepts comments in connection with Floor Broker applications; instead, the Exchange’s decisions regarding such applications are based solely upon objective criteria set

⁵ See Membership Directory, available at: <https://www.nyse.com/trade/membership#directories>.

⁶ The Exchange previously filed to delete references to the Weekly Bulletin in its rules where the information that would have been reflected therein would be available on its website. See Securities Exchange Act Release No. 56947 (December 12, 2007), 72 FR 72419 (December 20, 2007) (SR-Amex-2007-134). The Exchange’s affiliate, NYSE Arca, Inc. (“NYSE Arca”), recently eliminated similar requirements to post the names of Options Trading Permit (“OTP”) applicants and publish the names of new OTP Holders and OTP Firms in its Weekly Bulletin. See Securities Exchange Act Release No. 105043 (March 18, 2026), 91 FR 13898 (March 23, 2026) (SR-NYSEARCA-2026-29) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Rules 2.4, 2.6, and 6.44-O To Eliminate Certain Outdated Publication Obligations). The Exchange further notes that Cboe Exchange, Inc. (“Cboe Options”) similarly no longer requires the publication of Trading Permit Holder applicants in its weekly bulletin or the posting of such applicants on its bulletin board. See Securities Exchange Act Release No. 71436 (January 29, 2014), 79 FR 6662 (February 4, 2014) (SR-CBOE-2014-009).

forth in its rules.⁷ Accordingly, the Exchange believes the posting of the names of not-yet-approved Floor Broker applicants is no longer necessary or relevant.⁸ The Exchange therefore proposes to delete the portion of Rule 931NY(a) noted above, for the same reasons discussed above for the proposed deletion of subparagraph (2) under the “Admissions Procedures” section of Rule 353. The Exchange further notes that, as with ATP Holders, the Exchange currently maintains an up-to-date list of Floor Brokers in the Membership Directory on its website, which includes the names of each Floor Broker firm and contact information.⁹

Finally, with the proposed elimination of the publication and posting requirements in Rules 353 and 931NY as described above and given that the Exchange posts information relevant to market participants on its publicly available website, the Exchange also proposes to discontinue publication of the Weekly Bulletin and use of a physical bulletin board on the Trading Floor.¹⁰ To effect this change, the Exchange proposes to replace references to the Weekly Bulletin in Rules 452 and 459 with references to the Exchange’s website, where the information referenced in such rules will continue to be available.

⁷ Per Rule 931NY(a), in addition to submitting a written application with the Exchange on such form or forms as the Exchange may prescribe, prospective Floor Brokers must pass a Floor Broker examination prescribed by the Exchange, which objective standard must be met for registration approval.

⁸ The Exchange notes that NYSE Arca also recently eliminated a similar requirement with respect to the posting of Floor Broker applicants’ names. See Securities Exchange Act Release No. 105043 (March 18, 2026), 91 FR 13898 (March 23, 2026) (SR-NYSEARCA-2026-29) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Rules 2.4, 2.6, and 6.44-O To Eliminate Certain Outdated Publication Obligations). The Exchange further notes that it has consulted the Floor Broker registration rules of other options exchanges that have a physical trading floor and determined that none include a similar posting requirement. See, e.g., Nasdaq Phlx LLC, Options 8, Section 6 (Registration of Floor Brokers); Cboe Options Rule 3.50(b) (Floor Brokers, Registration); BOX Exchange LLC Rule 7550 (Registration of Floor Brokers); MIAX Sapphire Options Exchange Rule 2020 (Registration of Floor Brokers).

⁹ See note 5, supra.

¹⁰ As noted above, the Exchange has previously eliminated references to the Weekly Bulletin in its rules where the information was available to market participants via its website, and both NYSE Arca and Cboe Options have similarly eliminated requirements to publish or post information in a weekly bulletin and/or on a physical bulletin board, based on the availability of such information via the exchange’s website. See note 6, supra.

2. Statutory Basis

The Exchange believes that the proposed rule change is consistent with Section 6(b) of the Act,¹¹ in general, and furthers the objectives of Section 6(b)(5) of the Act,¹² in particular, because 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 regulating, clearing, settling, processing information with respect to, and 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, and because it is not designed to permit unfair discrimination between customers, issuers, brokers, or dealers.

The Exchange believes the proposed rule change would remove impediments to, and perfect the mechanism of, a free and open market and a national market system because it eliminates publication and posting requirements that are outdated, unduly burdensome, and redundant of information publicly available on the Exchange's website. With respect to the posting requirements for ATP and Floor Broker applicants, as set forth in Rules 353 and 931NY(a), respectively, the Exchange believes that the original rationale for posting such information—to put market participants on notice of certain applications and provide them an opportunity to submit comments to the Exchange regarding such applications—is no longer relevant, given that the Exchange no longer accepts such comments. Instead, as noted above, the Exchange evaluates ATP Holder and Floor Broker applications based on objective criteria set forth in Exchange rules. The Exchange thus believes that eliminating these requirements would

¹¹ 15 U.S.C. 78f(b).

¹² 15 U.S.C. 78f(b)(5).

streamline Exchange rules, while promoting clarity and transparency as to the Exchange's practices with respect to evaluating such applications. The Exchange also believes that the elimination of the requirement, as set forth in Rule 353, to publish new ATP Holders in the Exchange's Weekly Bulletin is similarly unnecessary given that the Exchange maintains an up-to-date Membership Directory on its website, which makes publicly available to market participants the names of approved ATP Holders. Thus, the Exchange believes the proposed change would likewise streamline Exchange rules by removing unnecessary and outdated requirements. Finally, the Exchange believes that the proposed change to discontinue publication of the Weekly Bulletin and use of a physical bulletin board on the Trading Floor would similarly remove impediments to, and perfect the mechanism of, a free and open market and a national market system because it would reduce an administrative burden on the Exchange without impacting the continued availability of relevant information to market participants via the Exchange's website.

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. The Exchange believes that the proposed rule change will not impose an undue burden on intramarket competition because the changes will impact all similarly situated market participants equally. The Exchange believes that the proposed rule change will not impose an undue burden on intermarket competition because it is intended to streamline Exchange rules by removing unnecessary and outdated requirements that other exchanges have similarly eliminated or otherwise do not have in their rules.¹³

¹³ See notes 6 & 8, supra.

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 Exchange has filed the proposed rule change pursuant to Section 19(b)(3)(A)(iii) of the Act¹⁴ and Rule 19b-4(f)(6) thereunder.¹⁵ Because the proposed rule change does not: (i) significantly affect the protection of investors or the public interest; (ii) impose any significant burden on competition; and (iii) become operative prior to 30 days from the date on which it was filed, or such shorter time as the Commission may designate, if consistent with the protection of investors and the public interest, the proposed rule change has become effective pursuant to Section 19(b)(3)(A) of the Act and Rule 19b-4(f)(6)(iii) thereunder.

A proposed rule change filed under Rule 19b-4(f)(6)¹⁶ normally does not become operative prior to 30 days after the date of the filing. However, pursuant to Rule 19b-4(f)(6)(iii),¹⁷ the Commission may designate a shorter time if such action is consistent with the protection of investors and the public interest. The Exchange has asked the Commission to waive the 30-day operative delay so that the proposal may become operative immediately upon filing.

At any time within 60 days of the filing of such 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. If the Commission takes such action, the

¹⁴ 15 U.S.C. 78s(b)(3)(A)(iii).

¹⁵ 17 CFR 240.19b-4(f)(6).

¹⁶ 17 CFR 240.19b-4(f)(6).

¹⁷ 17 CFR 240.19b-4(f)(6)(iii).

Commission shall institute proceedings under Section 19(b)(2)(B)¹⁸ of the Act to determine whether the proposed rule change should be approved or disapproved.

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 (<https://www.sec.gov/rules/sro.shtml>); or
- Send an email to rule-comments@sec.gov. Please include file number SR-NYSEAMER-2026-29 on the subject line.

Paper Comments:

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

All submissions should refer to file number SR-NYSEAMER-2026-29. This file number should be included on the subject line if email 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 (<https://www.sec.gov/rules/sro.shtml>).

Copies of the filing will be available for inspection and copying at the principal office of the Exchange. Do not include personal identifiable information in submissions; you should submit only information that you wish to make available publicly. We may redact in part or withhold entirely from publication submitted material that is obscene or subject to copyright protection.

¹⁸ 15 U.S.C. 78s(b)(2)(B).

All submissions should refer to file number SR-NYSEAMER-2026-29 and should be submitted on or before [INSERT DATE 21 DAYS AFTER DATE OF PUBLICATION IN THE *FEDERAL REGISTER*].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁹

Sherry R. Haywood,

Assistant Secretary.

¹⁹ 17 CFR 200.30-3(a)(12).

Additions: Underlined

Deletions: [Bracketed]

Rules of NYSE American, LLC

* * * * *

Office Rules

* * * * *

Section 4. Employees and Admission of Members and Member Organizations

* * * * *

ADMISSION OF MEMBERS AND MEMBER ORGANIZATIONS

* * * * *

MEMBERSHIP REQUIREMENTS AND ADMISSIONS PROCEDURE

Rule 353. American Trading Permit Requirements

The following requirements are applicable to any person seeking status as an American Trading Permit Holder.

An applicant for an American Trading Permit must be at least the minimum age of majority required to be responsible for his contracts in each jurisdiction in which he conducts business. He must be of good character and reputation and must meet Exchange standards regarding financial responsibility.

An applicant who plans to become an independent member must file an application with the SEC to be registered as a broker-dealer. All other applicants for an American Trading Permit must be associated with a broker-dealer registered with the SEC.

A detailed membership application must be filed with all applicable documents as prescribed by the Exchange. Every applicant and all persons associated with the applicant may be investigated by the Exchange. The applicant shall file with the Exchange such additional documents as may be requested by the Exchange.

The Exchange requires that the applicant have adequate experience to qualify him or her to be active in the phase of the securities business in which he/she proposes to engage as an ATP Holder. If the candidate is to be active on the Floor of the Exchange, he/she must pass an examination before being permitted to execute orders on the Floor; provided, however, such requirement shall be waived for a prior active member who was authorized to execute orders on the Floor of the Exchange immediately prior to the implementation of the System and the

relocation of the Trading Floor to 11 Wall Street, New York, NY. In addition, pursuant to Rule 50, Specialist candidates other than prior active members who were authorized as specialists immediately prior to the implementation of the System and the relocation of the Trading Floor to 11 Wall Street, New York, NY must successfully complete a mandatory Exchange-sponsored training program including participation in any Exchange testing programs in connection with this mandatory training program.

An applicant other than a prior active member must successfully complete the New Member training program before being permitted to execute orders on the Floor.

An applicant other than a prior active member who is associated with an organization in the securities business must take the required steps to qualify his organization as an ATP Holder. See Rule 356.

A member shall cease to be a member and shall surrender his American Trading Permit if he becomes subject to any "statutory disqualification" as defined in Section 3(a)(39) of the Securities Exchange Act of 1934.

Admissions Procedure

These steps are followed in connection with application for an American Trading Permit:

- (1) The requirements for membership are reviewed by the Exchange staff with any person requesting an application.
- (2) [There is a minimum posting period of 7 days for any applicant. However, the posting period may be extended by the Exchange when necessary. Notice of proposed issuance of the American Trading Permit shall be posted in the Weekly Bulletin of the Exchange upon the submission, in proper form, of all required documents. The minimum posting period will be waived for prior active members.
- (3) [The Exchange staff has an investigation of the applicant conducted in order to verify the information contained on his application.

The applicant may be requested to meet with representatives of the Membership Admissions Department to discuss any questions that have arisen during the investigation.

The Exchange may waive such investigation and/or meeting with the Membership Admissions Department for prior active members.

- [(4)] (3) Membership Services then either approves the applicant or, if it decides not to approve, notifies the applicant of its reasons for disapproval and that the applicant is entitled to a hearing under Exchange Rule 40.

* * * * *

Equities Rules

* * * * *

Offices and Employees

* * * * *

PROXIES

* * * * *

Rule 452 - Equities. Giving Proxies by Member Organization

* * * * *

••• *Supplementary Material:*

Giving a Proxy To Vote Stock

.10 When member organization may vote without customer instructions.—Rule 452 - Equities, above, provides that a member organization may give a proxy to vote stock provided that:

- (1) It has transmitted proxy soliciting material to the beneficial owner of stock or to the beneficial owner’s designated investment adviser in accordance with Rule 451 - Equities, and
- (2) it has not received voting instructions from the beneficial owner or from the beneficial owner's designated investment adviser, by the date specified in the statement accompanying such material, and
- (3) the person in the member organization giving or authorizing the giving of the proxy has no knowledge of any contest as to the action to be taken at the meeting and provided such action is adequately disclosed to stockholders and does not include authorization for a merger, consolidation of any matter which may affect substantially the rights or privileges of such stock.

.11 When member organization may not vote without customer instructions.—In the list of meetings of stockholders appearing [in the Weekly Bulletin] on the Exchange’s website, after proxy material has been reviewed by the Exchange, each meeting will be designated by an appropriate symbol to indicate either (a) that members may vote a proxy without instructions of beneficial owners, (b) that members may not vote specific matters on the proxy, or (c) that members may not vote the entire proxy.

* * * * *

Rule 459 - Equities. Other Persons to File Information When Associated with Member

* * * * *

••• *Supplementary Material:*

.10 **Public information.**—All information filed with the Exchange under these policies will be public.

After the section which lists the meetings of stockholders [in the Weekly Bulletin] on the Exchange's website, there will appear a title "Election Contests" which will be followed by a statement reading: "Companies as to which proxy solicitation material filed with the Exchange indicates that there is a counter-solicitation of proxies for the election of directors:". There will then follow a list of such companies where counter-proxy solicitation material has been filed with the Exchange.

Copies of Schedules A and B may be obtained upon request from Regulation & Surveillance.

* * * * *

Trading of Option Contracts

* * * * *

Section 900NY. Rules Principally Applicable to Trading of Options Contracts

* * * * *

Rule 931NY. Registration of Floor Brokers

(a) An applicant for registration as a Floor Broker must file an application in writing with the Exchange on such form or forms as the Exchange may prescribe. Applicants must pass a Floor Broker examination prescribed by the Exchange (Series 57 and the Securities Industry Essentials Examination). [Before a registration becomes effective, the Exchange will post the name of the applicant on the bulletin board on the Floor of the Exchange for 3 business days.]

(b) An ATP Holder registered as a Floor Broker on the Exchange may not be concurrently registered as a Market Maker on the Exchange.

(c) The registration of any person as a Floor Broker may be suspended or terminated by the Exchange upon a determination that such person has failed to perform properly as a Floor Broker. Any ATP Holder or prospective ATP Holder adversely affected by a determination of the Exchange under this Rule may obtain a review thereof in accordance with the provisions of Section 9A or 9B of the Office Rules, as applicable.

* * * * *