

Additions: Underlined
Deletions: [Bracketed]

Rules of NYSE American LLC

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Equities Rules

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Cash Equities Pillar Platform Rules (Rules 1E—13E)

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RULE 7E EQUITIES TRADING

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Section 3. Exchange Trading

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Rule 7.31E. Orders and Modifiers

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(i) Additional Order Instructions and Modifiers:

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(2) Self Trade Prevention Modifier (“STP”). Any incoming order to buy (sell) designated with an STP modifier will be prevented from trading with a resting order to sell (buy) also designated with an STP modifier and from the same Client ID; the same MPID and, if specified, any subidentifier; or an Affiliate identifier (any such identifier, a “Unique Identifier”). For purposes of this rule, the term “Affiliate” means any ETP Holder under 75% common ownership or control of that ETP Holder. The STP modifier on the incoming order controls the interaction between two orders marked with STP modifiers. Orders marked with an STP modifier will not be prevented from interacting during any auction.

(A) STP Cancel Newest (“STPN”). An incoming order to buy (sell) marked with the STPN modifier will not trade with resting interest to sell (buy) marked with any of the STP modifiers from the same [MPID]Unique Identifier. The incoming order marked with the STPN modifier will be cancelled back to the originating ETP

Holder. The resting order marked with one of the STP modifiers will remain on the Exchange Book.

- (B) STP Cancel Oldest (“STPO”). An incoming order to buy (sell) marked with the STPO modifier will not trade with resting interest to sell (buy) marked with any of the STP modifiers from the same [MPID]Unique Identifier. The resting order marked with the STP modifier will be cancelled back to the originating ETP Holder. The incoming order marked with the STPO modifier will remain on the Exchange Book.
- (C) STP Decrement and Cancel (“STPD”). An incoming order to buy (sell) marked with the STPD modifier will not trade with resting interest to sell (buy) marked with any of the STP modifiers from the same [MPID]Unique Identifier. If both orders are equivalent in size, both orders will be cancelled back to the originating ETP Holder. If the orders are not equivalent in size, the equivalent size will be cancelled back to the originating ETP Holder and the larger order will be decremented by the size of the smaller order with the balance remaining on the Exchange Book.
- (D) STP Cancel Both (“STPC”). An incoming order to buy (sell) marked with the STPC modifier will not trade with resting interest to sell (buy) marked with any of the STP modifiers from the same [MPID]Unique Identifier. The entire size of both orders will be cancelled back to originating ETP Holder.

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