

Additions underlined;
Deletions [bracketed].

Rules of NYSE Chicago, Inc.

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Article 17 Institutional Brokers

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Rule 5. Brokerplex

(a) *Description of System.* The Exchange provides the Brokerplex® trading system for use by Institutional Broker Representatives (“IBRs”), as defined in Rule 1 of this Article and the Interpretations and Policies thereto, who are affiliated with Institutional Brokers. Brokerplex is an order and trade entry, recordation and management system developed and operated by the Exchange for use by IBRs to receive, transmit and hold orders from their clients while seeking execution within the [Matching System or]NYSE Chicago Marketplace[, as applicable,] or elsewhere in the National Market System. Brokerplex can also be used to record trade executions and send transaction reports to a Trade Reporting Facility (“TRF”), as defined in FINRA Rules 6300 *et seq.*, as amended from time-to-time. Brokerplex can also be used by IBRs to initiate clearing submissions to a Qualified Clearing Agency via the Exchange’s reporting systems. Reports of orders, executions and clearing submissions received, handled or submitted via Brokerplex are kept by the system.

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(c) *Order Types, Conditions and Instructions.*

1. *Matching System Orders.* Brokerplex accepts and handles all of the order types, conditions and instructions accepted by the [Matching System as specified in Article 20, Rule 4 or the]NYSE Chicago Marketplace pursuant to Rule 7.31[, as applicable,] provided that the following order types and modifiers as defined under Rule 7.31 are not available via Brokerplex: Inside Limit Orders, Auction-Only Orders, MPL Orders, Tracking Orders, ISOs, Primary Only Orders, Primary Until 9:45 Orders, Primary After 3:55 Orders, Directed Orders, Pegged Orders, Non-Display Remove Modifier, Proactive if Crossed Modifier, Self-Trade Prevention Modifier, and Minimum Trade Size Modifier. Orders may be entered into Brokerplex manually by an IBR, or submitted directly into Brokerplex by an Exchange-approved electronic connection.
2. *Other Market Center Orders.* In addition to the order types accepted by the [Matching System or]NYSE Chicago Marketplace[, as applicable,] the Brokerplex system permits the entry and processing of certain order types, conditions and instructions accepted by other market centers.

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(e) *Order Handling and Transmission.* An IBR may use Brokerplex to send orders to the [Exchange's Matching System or the]NYSE Chicago Marketplace[, as applicable], another trading center connected to Brokerplex, or a systems provider [which]that performs routing services.

1. As directed by the IBR, Brokerplex will either (A) send orders that are eligible for submission to the [Matching System under Article 20, Rule 4 or the]NYSE Chicago Market Place pursuant to Rule 7.31[, as applicable] first to the [Matching System or]NYSE Chicago Marketplace[, as applicable] to execute or display and then, if they cannot be executed or displayed in the [Matching System or]NYSE Chicago Marketplace[, as applicable], to another destination according to the IBR's instructions; or (B) directly to another trading center designated by the user. Orders which are not eligible for submission to the [Matching System or]NYSE Chicago Marketplace[, as applicable] will be directly sent to another destination in accordance with the IBR's instructions. Notwithstanding the above, QCT Cross Orders submitted into Brokerplex will be directed first to the NYSE Chicago Marketplace for execution and then, if they cannot be executed in the NYSE Chicago Marketplace, sent to another destination according to the IBR's instructions.
2. Any order entered into Brokerplex and sent through Brokerplex to another exchange or trading center via the provisions of this rule and which results in an execution shall be binding on the Participant on whose behalf such order was entered, including any access, transaction or other fee imposed by that trading center. The [Institutional Broker]IBR will be responsible for ensuring that it has a relationship with its chosen destinations to permit the requested access. The Exchange shall not have responsibility for the handling of the order by the other destination, but will report any execution or cancellation of the order by the other destination to Brokerplex, and will notify the other venue of any cancellations or changes to the order submitted by the IBR into Brokerplex.

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