

Additions: Underlined

Deletions: [Bracketed]

## NYSE American Rules

### Equities Rules

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

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### RULE 7E - EQUITIES TRADING

#### Section 1. General Provisions

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#### Rule 7.18E. Trading Halts

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#### (b) Regulatory Halts

##### (1) *Authority to Initiate a Regulatory Halt*

(A) Mandatory Halts. The Exchange will declare a Regulatory Halt:

- (i) pursuant to Rule 7.11E concerning Limit Up Limit Down;
- (ii) pursuant to Rule 7.12E concerning Market-Wide Circuit Breaker;
- (iii) [as provided for in Sections 107 and 402 of the Exchange’s Company Guide; or
- (iv)] for a security for which the Exchange is the Primary Listing Market before the end of the Late Trading Session on the day immediately before the market effective date of the reverse stock split (“Reverse Stock Split Halt”)[.];
- (iv) if the Exchange becomes aware that, with respect to Derivative Securities Products listed on the Exchange for which a Net Asset Value (“NAV”) (and in the case of Managed Fund Shares under Rule 8.600E

and Managed Trust Securities under Rule 8.700E, a Disclosed Portfolio) is disseminated, such NAV or Disclosed Portfolio is not being disseminated to all market participants at the same time (“Dissemination Halt”); or

(v) as provided for elsewhere in the Rules of the Exchange, including but not limited to Rules 5.1E, 5.2E, 5.5E, 8.3E, 8.12E, 8.100E, 8.200E, 8.202E, 8.204E, 8.400E, 8.500E, 8.600E, 8.700E, and Sections 107 and 402 of the Exchange’s Company Guide, concerning requirements for listing, delisting, and maintaining listings of certain types of securities, and regarding the public dissemination of material information.

(B) Discretionary Halts. The Exchange may declare a Regulatory Halt in trading for any security for which it is the Primary Listing Market as follows:

(i) [as provided for in Sections 107 and 402 of the Exchange’s Company Guide;

(ii)] of a security that is the subject of an initial pricing on the Exchange that has not been listed on a national securities exchange immediately prior to initial pricing (“Initial Listing Regulatory Halt”);

(ii[iii]) if it determines there is a SIP Outage, Material SIP Latency, or Extraordinary Market Activity; [or]

(iii[iv]) in the event of national, regional, or localized disruption that necessitates a Regulatory Halt to maintain a fair and orderly market[.];  
or

(iv) as provided for elsewhere in the Rules of the Exchange, including but not limited to Rules 5.1E, 5.2E, 5.5E, 8.3E, 8.12E, 8.100E, 8.200E, 8.202E, 8.204E, 8.400E, 8.500E, 8.600E, 8.700E, and Sections 107 and 402 of the Exchange’s Company Guide, concerning requirements for listing, delisting, and maintaining listings of certain types of securities, and regarding the public dissemination of material information.

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**(c) Operational Halts**

(1) *Authority to Initiate an Operational Halt.* The Exchange may declare an Operational Halt for any security trading on the Exchange:

(A) if it is experiencing Extraordinary Market Activity on the Exchange; or

- (B) [if a Primary Listing Market imposes an Operational Halt in a security that is a derivative or component of a security listed on the Exchange; or
- (C)] when otherwise necessary to maintain a fair and orderly market or in the public interest.

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