

Issued: May 22, 2026.
Sharon Bellamy,
Supervisory Hearings and Information
Officer.
[FR Doc. 2026-10549 Filed 5-27-26; 8:45 am]
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DEPARTMENT OF JUSTICE

[OMB Number 1117-0043]

Agency Information Collection
Activities; Proposed eCollection
eComments Requested; Extension of a
Previously Approved Collection;
Title—Student Volunteer Service
Agreement

AGENCY: Drug Enforcement
Administration, Department of Justice.
ACTION: 60-Day notice.

SUMMARY: The Drug Enforcement
Administration, Department of Justice
(DOJ), will be submitting the following
information collection request to the
Office of Management and Budget
(OMB) for review and approval in
accordance with the Paperwork
Reduction Act of 1995.

DATES: Comments are encouraged and
will be accepted for 60 days until July
27, 2026.

FOR FURTHER INFORMATION CONTACT: If
you have additional comments
especially on the estimated public
burden or associated response time,
suggestions, or need a copy of the
proposed information collection
instrument with instructions or
additional information, please contact
Kannessia Jordan, Section Chief, Office
of Compliance, Policy Administration

Section, 700 Army Navy Drive,
Arlington, VA 22202, telephone: 571-
776-2262, email: Kannessia.S.Jordan@
DEA.gov.

SUPPLEMENTARY INFORMATION: Written
comments and suggestions from the
public and affected agencies concerning
the proposed collection of information
are encouraged. Your comments should
address one or more of the following
four points:

- Evaluate whether the proposed
collection of information is necessary
for the proper performance of the
functions of the Bureau of Justice
Statistics, including whether the
information will have practical utility;
-Evaluate the accuracy of the agency's
estimate of the burden of the
proposed collection of information,
including the validity of the
methodology and assumptions used;
-Evaluate whether and if so how the
quality, utility, and clarity of the
information to be collected can be
enhanced; and
-Minimize the burden of the collection
of information on those who are to
respond, including through the use of
appropriate automated, electronic,
mechanical, or other technological
collection techniques or other forms
of information technology, e.g.,
permitting electronic submission of
responses.

Abstract: Summarize the purpose of
the form. The purpose of this form is to
document the established terms and
conditions of the volunteer service
agreement between the student, the
student's educational institution and
our agency.

Overview of This Information
Collection

- 1. Type of Information Collection:
New.
2. The Title of the Form/Collection:
Student Volunteer Service Agreement.
3. The agency form number, if any,
and the applicable component of the
Department sponsoring the collection:
Form number: DEA-375. The
sponsoring component is the Drug
Enforcement Administration.
4. Affected public who will be asked
or required to respond, as well as the
obligation to respond: Who will be
asked/required to respond? Advise if the
response necessary to provide service to
the respondent? The host DEA office,
the student, and the student's
educational institution will be required
to respond/approve. The host agency
prepares the form, including duties and
work assignment details to which the
student will review and sign off. The
educational institution should also
review and sign off to confirm the
students good standing.
5. An estimate of the total number of
respondents and the amount of time
estimated for an average respondent to
respond: The total or estimated number
of respondents for the DEA-375 is 500.
The time per response is 10 minutes.
6. An estimate of the total annual
burden (in hours) associated with the
collection: The total annual burden
hours for this collection is 83 hours and
20 minutes.
7. An estimate of the total annual cost
burden associated with the collection, if
applicable: \$0.

TOTAL BURDEN HOURS

Table with 6 columns: Activity, Number of respondents, Frequency, Total annual responses, Time per response, Total annual burden (hours). Rows include DEA Form 375 and Unduplicated Totals.

If additional information is required
contact: Darwin Arceo, Department
Clearance Officer, United States
Department of Justice, Justice
Management Division, Enterprise
Portfolio Management, Two
Constitution Square, 145 N Street NE,
4W-218, Washington, DC.

Dated: May 26, 2026.
Darwin Arceo,
Department Clearance Officer for PRA, U.S.
Department of Justice.
[FR Doc. 2026-10605 Filed 5-27-26; 8:45 am]
BILLING CODE 4410-09-P

SECURITIES AND EXCHANGE
COMMISSION

[Release No. 34-105548; File No. SR-
NYSEARCA-2026-54]

Self-Regulatory Organizations; NYSE
Arca, Inc.; Notice of Filing and
Immediate Effectiveness of Proposed
Rule Change To Amend Rule 6.40P-O

May 22, 2026.
Pursuant to Section 19(b)(1) 1 of the
Securities Exchange Act of 1934

(“Act”)<sup>2</sup> and Rule 19b-4 thereunder,<sup>3</sup>
notice is hereby given that, on May 19,
2026, NYSE Arca, Inc. (“NYSE Arca” or
the “Exchange”) filed with the
Securities and Exchange Commission
(the “Commission”) the proposed rule
change as described in Items I and II
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.

1 15 U.S.C. 78s(b)(1).

2 15 U.S.C. 78a.

3 17 CFR 240.19b-4.

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

The Exchange proposes to amend Rule 6.40P–O to provide its Options Trade Permit (“OTP”) Holders and OTP Firms with additional flexibility in establishing how their trading activity counts toward certain risk parameters. The proposed rule change is available on the Exchange’s website at [www.nyse.com](http://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 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 Rule 6.40P–O (Pre-Trade and Activity-Based Risk Controls). Specifically, the Exchange proposes to adopt Commentary .03 to provide an Entering Firm<sup>4</sup> with additional flexibility in establishing how their trading activity counts toward certain risk parameters.

#### Background and Proposed Rule Change

The Exchange offers a suite of configurable risk controls on its Pillar trading platform to its OTP Holders and OTP Firms.<sup>5</sup> As part of these controls, the Exchange offers Activity-based Controls for the Options Market that are mandatory for Market Makers and optional for all other Entering Firms.

The risk control features are intended to be supplemental to its OTP Holder’s and OTP Firm’s internal monitoring and procedures related to risk management and are not designed to be an OTP Holder’s or OTP Firm’s sole means of risk control. The controls are

configurable and under the direct control and supervision of the firm. The use of risk controls will not automatically constitute compliance with any exchange or federal rules for which it is the OTP Holder’s or OTP Firm’s sole responsibility to comply.

Activity-Based Risk Controls provides Entering Firms with the ability to manage their order and execution risk. The controls refer to activity-based risk limits that may be applied to orders and quotes in an options class (excluding those represented in open outcry, except “clear-the-book” (CTB) orders) based on the following specified thresholds measured over the course of an interval:<sup>6</sup> (i) number of orders and quotes that can be executed (“transaction”); (ii) number of contracts that can be executed (“volume”); and (iii) the percentage of contracts executed as measured against the full size of orders and quotes executed (“percentage”).<sup>7</sup>

To determine when an Activity-Based Risk Control has been breached, the Exchange will maintain a trade counter that will be incremented every time an order or quote trades and will aggregate the number of contracts traded during each such execution.<sup>8</sup> When designating one of the three Activity-Based Risk Controls, the Entering Firm must indicate which of the following actions it wishes the Exchange to take if a risk limit is breached: (i) notification only (the Exchange will continue to accept new order and quote messages and related instructions and will not cancel any unexecuted orders or quotes); (ii) block only (the Exchange will reject new orders and related instructions, except instructions to cancel one or more orders or quotes; or (iii) cancel and block (in addition to block, above, the Exchange will cancel all unexecuted orders and quotes in the Consolidated Book other than Auction Order Orders and orders designated GTC).<sup>9</sup>

The Exchange proposes to amend Rule 6.40P–O to enhance the Activity-Based Risk Controls to provide Entering Firms flexibility in establishing how their trading activity counts toward the risk limits. Specifically, the Exchange

would add Commentary .03 to allow an Entering Firm the option to count its limit on a contra-party (*i.e.*, Customer,<sup>10</sup> Broker,<sup>11</sup> Market Maker,<sup>12</sup> Away Market Maker,<sup>13</sup> or Firm<sup>14</sup>) basis. Under the proposed change, for the activity-based risk limits established under Rule 6.40P–O(a)(3), an Entering Firm may specify a weight (up to 200%) based on contra-party capacity to count towards the Entering Firm’s Transaction, Volume and Percentage limits. For instance, an Entering Firm could specify that only 50% of the quantity on each trade with a Customer contra-party would be used towards the Entering Firm’s activity-based risk limit.<sup>15</sup>

The proposed rule change is based on recently amended CBOE Rule 5.34(c),<sup>16</sup> which permits its Users to specify a percentage of up to 100% and MIAA Pearl Rule 517A and 517B which permits the use of a multiplier with a minimum value of 0 and maximum value of 10 in its members calculating their Allowable Engagement Percentage.<sup>17</sup>

<sup>10</sup> For options traded on the Exchange, the term “Customer” does not include a broker or dealer and, unless otherwise specified, includes a Professional Customer (*i.e.*, an individual or organization that (i) is not a broker or dealer and (ii) places more than 390 orders in listed options per day on average during a calendar month for its own beneficial account(s)). See Rule 1 Definitions.

<sup>11</sup> The terms “broker” means the same as set out in Section 3(a)(4) of the Securities Exchange Act of 1934. See Rule 6.1–O(31). Per Section 3(a)(4) of the Exchange Act, “[t]he term ‘broker’ means any person engaged in the business of effecting transactions in securities for the account of others.

<sup>12</sup> With respect to options traded on the Exchange, the term “Market Maker” refers to an OTP Holder or OTP Firm that acts as a Market Maker pursuant to Rule 6.32–O. See Rule 1 Definitions.

<sup>13</sup> With respect to options traded on the Exchange, the term “Away Market” means any Trading Center (1) with which the Exchange maintains an electronic linkage, and (2) that provides instantaneous responses to orders routed from the Exchange. See Rule 1 Definitions.

<sup>14</sup> For options traded on the Exchange, the term “Firm” means a broker-dealer that is not registered as a dealer-specialist or market maker on a registered national securities exchange or association.

<sup>15</sup> Similarly, an Entering Firm could specify a weight of up to 200% for each counterparty class.

<sup>16</sup> See Securities Exchange Act Release No. 104674 (January 23, 2026), 91 FR 3763 (January 28, 2026) (SR–CBOE–2026–006) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Rule 5.34(c) With Respect to Its Risk Monitor Mechanism, To Provide Users With Additional Flexibility in Establishing How Their Trading Activity Counts Towards Certain Risk Parameters).

<sup>17</sup> See Securities Exchange Act Release 104299 (December 3, 2025) 90 FR 56809 (December 8, 2025) (SR–PEARL–2025–47) (Notice of Filing and Immediate Effectiveness of a Proposed Rule Change To Amend Exchange Rule 517A, Aggregate Risk Manager for EEMs (“ARM–E”), and Rule 517B, Aggregate Risk Manager for Market Makers (“ARM–M”).

<sup>4</sup> “Entering Firm” means an OTP Holder or OTP Firm (including those acting as Market Makers). See Rule 6.40P–O(a)(1).

<sup>5</sup> Pillar is the NYSE’s integrated trading technology platform which enables member firms to connect to all NYSE equities and options markets using a standard protocol.

<sup>6</sup> The Exchange will specify by Trader Update the interval for Activity-Based Risk Controls, which will not be less than 100 milliseconds and will not be greater than 300,000 milliseconds. See Rule 6.40P–O(c)(2)(F).

<sup>7</sup> See Rule 6.40P–O(a)(3). Per Rule 6.40P–O(c)(2)(A), an Entering Firm acting as a Market Maker is required to apply one of the Activity-Based Risk Controls to all of its orders and quotes. An Entering Firm that is not acting as a Market Maker may, but is not required to, apply one of the Activity-Based Risk Controls to its orders.

<sup>8</sup> See Rule 6.40P–O(c)(2)(B).

<sup>9</sup> See Rule 6.40P–O(c)(2)(C).

## 2. Statutory Basis

The Exchange believes that the proposed rule change is consistent with Section 6(b) of the Act,<sup>18</sup> in general, and furthers the objectives of Section 6(b)(5) of the Act,<sup>19</sup> 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. In addition, the Exchange believes that the proposed rule change is consistent with the Section 6(b)(5)<sup>20</sup> requirement that the rules of an exchange not be designed to permit unfair discrimination between customers, issuers, brokers, or dealers.

In particular, the Exchange believes that allowing Entering Firms to tailor their risk parameters promotes risk management processes that better reflect the risks of different types of trading activity. The Exchange believes that the proposed rule change will protect investors and the public interest because the proposed enhancement will assist Entering Firms in minimizing their risk exposure, thereby reducing the potential for disruptive, market-wide events.

The Exchange further believes its proposal to allow Entering Firms to establish risk parameters on a contra-party capacity basis is reasonable, as different contra-party types present different risk profiles. For example, this enhancement may be beneficial for Market-Makers or other liquidity providers who may wish to establish lower limits for when providing liquidity to Customer orders while establishing stricter parameters for trades against other institutional contra-parties which may involve different risk considerations. The Exchange believes allowing Entering Firms the option to adjust their risk tolerance based on contra-party capacity provides the opportunity for a more precise risk management approach.

Finally, the Exchange believes the proposed change is not unfairly discriminatory, as the proposed enhancement is available to all Entering Firms and apply uniformly to all Entering Firms who may choose to utilize the enhanced risk parameter settings. As noted above, use of the proposed enhancement is optional and

Entering Firms are free to utilize them or not, at their discretion.

### *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 proposed enhancement is available to all Entering Firms and applies uniformly to all Entering Firms who may choose to utilize the enhanced risk parameter settings. As noted above, use of the proposed enhancement is optional and Entering Firms are free to utilize them or not, at their discretion.

Similarly, the Exchange does not believe that the proposed rule change will impose any burden on intermarket competition that is not necessary or appropriate in furtherance of the purposes of the Act because the proposed enhancement applies only to trading on the Exchange. Again, the Exchange notes that it is voluntary for the Entering Firms to determine whether to make use of the new enhancement of the Activity-Based Risk Controls. To the extent that the proposed changes may make the Exchange a more attractive trading venue for market participants on other exchanges, such market participants may elect to become an Exchange market participant.

### *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 Act<sup>21</sup> and Rule 19b-4(f)(6) thereunder.<sup>22</sup> 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.<sup>23</sup>

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 Commission shall institute proceedings under Section 19(b)(2)(B)<sup>24</sup> 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](mailto:rule-comments@sec.gov). Please include file number SR-NYSEARCA-2026-54 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-NYSEARCA-2026-54. 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

<sup>23</sup> 17 CFR 240.19b-4(f)(6). In addition, Rule 19b-4(f)(6)(iii) requires a self-regulatory organization to give the Commission 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 filing of the proposed rule change, or such shorter time as designated by the Commission. The Exchange has satisfied this requirement.

<sup>24</sup> 15 U.S.C. 78s(b)(2)(B).

<sup>18</sup> 15 U.S.C. 78f(b).

<sup>19</sup> 15 U.S.C. 78f(b)(5).

<sup>20</sup> 15 U.S.C. 78f(b)(5).

<sup>21</sup> 15 U.S.C. 78s(b)(3)(A)(iii).

<sup>22</sup> 17 CFR 240.19b-4(f)(6).

protection. All submissions should refer to file number SR–NYSEARCA–2026–54 and should be submitted on or before June 18, 2026.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.<sup>25</sup>

**Sherry R. Haywood,**  
Assistant Secretary.

[FR Doc. 2026–10536 Filed 5–27–26; 8:45 am]

BILLING CODE 8011–01–P

## SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–105547; File No. SR–NYSEAMER–2026–42]

### Self-Regulatory Organizations; NYSE American LLC; Notice of Filing and Immediate Effectiveness of Proposed Change To Amend Rule 928NYP

May 22, 2026.

Pursuant to Section 19(b)(1)<sup>1</sup> of the Securities Exchange Act of 1934 (“Act”)<sup>2</sup> and Rule 19b–4 thereunder,<sup>3</sup> notice is hereby given that, on May 19, 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 and II 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 Rule 928NYP to provide its American Trading Permit (“ATP”) Holders with additional flexibility in establishing how their trading activity counts toward certain risk parameters. The proposed rule change is available on the Exchange’s website at [www.nyse.com](http://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 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 Rule 928NYP (Pre-Trade and Activity-Based Risk Controls). Specifically, the Exchange proposes to adopt Commentary .03 to provide an Entering Firm<sup>4</sup> with additional flexibility in establishing how their trading activity counts toward certain risk parameters.

##### Background and Proposed Rule Change

The Exchange offers a suite of configurable risk controls on its Pillar trading platform to its members.<sup>5</sup> As part of these controls, the Exchange offers Activity-based Controls for the Options Market that are mandatory for Market Makers and optional for all other Entering Firms.

The risk control features are intended to be supplemental to the Exchange member’s internal monitoring and procedures related to risk management and are not designed to be a member’s sole means of risk control. The controls are configurable and under the direct control and supervision of the firm. The use of risk controls will not automatically constitute compliance with any Exchange or federal rules for which it is the member’s sole responsibility to comply.

Activity-Based Risk Controls provides Entering Firms with the ability to manage their order and execution risk. The controls refer to activity-based risk limits that may be applied to orders and quotes in an options class (excluding those represented in open outcry, except “clear-the-book” (CTB) orders) based on the following specified thresholds measured over the course of an interval:<sup>6</sup> (i) number of orders and quotes that can be executed (“transaction”); (ii) number of contracts that can be executed (“volume”); and

(iii) the percentage of contracts executed as measured against the full size of orders and quotes executed (“percentage”).<sup>7</sup>

To determine when an Activity-Based Risk Control has been breached, the Exchange will maintain a trade counter that will be incremented every time an order or quote trades and will aggregate the number of contracts traded during each such execution.<sup>8</sup> When designating one of the three Activity-Based Risk Controls, the Entering Firm must indicate which of the following actions it wishes the Exchange to take if a risk limit is breached: (i) notification only (the Exchange will continue to accept new order and quote messages and related instructions and will not cancel any unexecuted orders or quotes); (ii) block only (the Exchange will reject new orders and related instructions, except instructions to cancel one or more orders or quotes; or (iii) cancel and block (in addition to block, above, the Exchange will cancel all unexecuted orders and quotes in the Consolidated Book other than Auction-Only Orders, and orders designated GTC).<sup>9</sup>

The Exchange proposes to amend Rule 928NYP to enhance the Activity-Based Risk Controls to provide Entering Firms flexibility in establishing how their trading activity counts toward the risk limits. Specifically, the Exchange would add Commentary .03 to allow an Entering Firm the option to count its limit on a contra-party (*i.e.*, Customer,<sup>10</sup> Professional Customer,<sup>11</sup> Broker,<sup>12</sup> Market Maker,<sup>13</sup> Away Market Maker<sup>14</sup>

<sup>7</sup> See Rule 928NYP(a)(3). Per Rule 928NYP(c)(2)(A), an Entering Firm acting as a Market Maker is required to apply one of the Activity-Based Risk Controls to all of its orders and quotes. An Entering Firm that is not acting as a Market Maker may, but is not required to, apply one of the Activity-Based Risk Controls to its orders.

<sup>8</sup> See Rule 928NYP(c)(2)(B).

<sup>9</sup> See Rule 928NYP(c)(2)(C).

<sup>10</sup> “Customer” means an individual or organization that is not a Broker/Dealer. See Rule 900.2NY (Definitions).

<sup>11</sup> The term “Professional Customer” means an individual or organization that (i) is not a Broker/Dealer in securities, and (ii) places more than 390 orders in listed options per day on average during a calendar month for its own beneficial account(s). See Rule 900.2NY (Definitions).

<sup>12</sup> The term “broker” means the same as set out in Section 3(a)(4) of the Securities Exchange Act of 1934. See Rule 900.2NY (Definitions). Per Section 3(a)(4) of the Exchange Act, “[t]he term ‘broker’ means any person engaged in the business of effecting transactions in securities for the account of others.

<sup>13</sup> The term “Market Maker” refers to an ATP Holder that acts as a Market Maker pursuant to Rule 920NY. See Rule 900.2NY (Definitions).

<sup>14</sup> The term “Away Market” means any Trading Center (1) with which the Exchange maintains an electronic linkage, and (2) that provides instantaneous responses to orders routed from the Exchange. See Rule 900.2NY (Definitions).

<sup>25</sup> 17 CFR 200.30–3(a)(12).

<sup>1</sup> 15 U.S.C. 78s(b)(1).

<sup>2</sup> 15 U.S.C. 78a.

<sup>3</sup> 17 CFR 240.19b–4.

<sup>4</sup> “Entering Firm” means an ATP Holder (including those acting as Market Makers). See Rule 928NYP(a)(1).

<sup>5</sup> Pillar is the NYSE’s integrated trading technology platform which enables member firms to connect to all NYSE equities and options markets using a standard protocol.

<sup>6</sup> The Exchange will specify by Trader Update the interval for Activity-Based Risk Controls, which will not be less than 100 milliseconds and will not be greater than 300,000 milliseconds. See Rule 928NYP(c)(2)(F).