

Required fields are shown with yellow backgrounds and asterisks.

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

File No. * SR 2024 - * 73

Amendment No. (req. for Amendments *)

Filing by New York Stock Exchange 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"/>
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Pilot <input type="checkbox"/>	Extension of Time Period for Commission Action * <input type="checkbox"/>	Date Expires * <input type="text"/>
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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) *

Section 806(e)(2) *

Security-Based Swap Submission pursuant to the Securities Exchange Act of 1934
Section 3C(b)(2) *

Exhibit 2 Sent As Paper Document

Exhibit 3 Sent As Paper Document

Description

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

Proposal to harmonize NYSE Rule 3110(d)

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 * David Last Name * De Gregorio

Title * Associate General Counsel

E-mail * david.degregorio@ice.com

Telephone * (212) 656-4166 Fax (212) 656-8101

Signature

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

Date 11/05/2024

(Title *)

By Martha Redding

Corporate Secretary

(Name *)

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.

Martha Redding

Digitally signed by Martha Redding
Date: 2024.11.05 11:07:56 -05'00'

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 *

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19b-4 of NYSE Rule 3110(d) FINRA A

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 of 3110(d) Copycat (10-2

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 *

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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

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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

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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 of 3110(d) Copycat (10-20

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 (the “Act”)¹ and Rule 19b-4 thereunder,² New York Stock Exchange LLC (“NYSE” or the “Exchange”) proposes to harmonize NYSE Rule 3110(d) (Obligation to Provide List of RSLs) with certain recent changes by the Financial Industry Regulatory Authority, Inc. (“FINRA”) to FINRA Rule 3110(d).

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 significant indirect effect, on the application of 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.

The person on the Exchange Staff prepared to respond to questions and comments on the proposed rule change is:

David De Gregorio
Associate General Counsel
NYSE Group, Inc.
(212) 656-4166

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

- (a) Purpose

The Exchange proposes to harmonize NYSE Rule 3110(d) (Obligation to Provide List of RSLs³) to harmonize the rule with certain recent changes by FINRA. Specifically, the Exchange would remove the reference to a list of RSLs and the

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ “RSL” stands for Residential Supervisory Location.

quarterly timeframe for member firms to provide the list to FINRA and replace it with the requirement that member firms provide current information identifying all locations designated as RSLs in the frequency, manner and format as FINRA may prescribe. The proposed rule change would harmonize the Exchange's residential supervisory location rule with FINRA and thus promote uniform inspection standards across the securities industry. Additionally, because the proposed changes to NYSE Rule 3110.19(d) would be substantially similar to FINRA Rule 3110.19(d), this rule change enables NYSE Rule 3110 to continue to be incorporated into the agreement between NYSE and FINRA to allocate regulatory responsibility for common rules (the "17d-2 Agreement").

Background and Proposed Rule Change

The NYSE recently adopted NYSE Rule 3110.19, which permits a member organization to designate a private residence at which an associated person engages in specified supervisory activities, subject to certain safeguards and limitations, as an RSL, a non-registered location.⁴ NYSE Rule 3110 is based on FINRA Rule 3110.⁵

Currently, NYSE Rule 3110.19(d) requires a member organization that elects to designate any of its offices or locations as an RSL to provide FINRA with a current list of those offices or locations by the 15th day of the month following each calendar quarter in the manner and format (e.g., through an electronic process or such other process) as FINRA may prescribe.

Recently, FINRA amended its Rule 3110.19(d) to replace the requirement for member firms to provide to FINRA a quarterly list of RSLs in the manner and format prescribed by FINRA with the requirement for member firms to provide to FINRA current information identifying their RSLs in the frequency, manner and format prescribed.⁶ In this regard, the locations or offices that member firms have

⁴ See Securities Exchange Act Release No. 101325 (October 15, 2024), 89 FR 84221 (October 21, 2024) (SR-NYSE-2024-64) (Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Harmonize NYSE Rule 3110).

⁵ See *id.*, 89 FR at 84221. See generally Securities Exchange Act Release No. 73554 (November 6, 2014), 79 FR 67508 (November 13, 2014) (SR-NYSE-2014-56).

⁶ See Securities Exchange Act Release No. 101052 (September 17, 2024), 89 FR 77567 (September 23, 2024) (SR-FINRA-2024-015). As explained in its filing, FINRA amended the Form U4 Instructions to include a new question requiring FINRA member firms to indicate whether a non-registered (i.e., non-branch) location that is identified on Form U4 as a private residence is an RSL by responding "Yes" or "No" (the "RSL Question"). According to FINRA, this change rendered the requirement for FINRA member firms to provide information to FINRA identifying RSLs in a quarterly list set forth in FINRA Rule 3110.19(d) unnecessary. Moreover, the FINRA By-Laws impose a 30-day timeframe upon FINRA members to keep Form U4 current at all times, and because the RSL Question would be part of the Form U4, FINRA maintained that the 30-day updating requirement makes unnecessary the quarterly timeframe for firms to provide FINRA a list of RSLs as currently required under Rule 3110.19(d). See *id.*, 89 FR at 77569. The implementation date for these changes is November 26, 2024.

designated as RSLs would be reported to FINRA on a rolling basis, consistent with the requirements to keep information current on the Form U4, rather than only four times per year.

To harmonize NYSE Rule 3110.19(d) with these recent FINRA changes, the Exchange would make conforming changes to its rule, including the heading. The Exchange would also delete a stray “the” before FINRA in the last sentence of NYSE Rule 3110.19(d), as follows (deleted text in brackets, new text underlined):

(d) Obligation to Provide Information Identifying [List of] RSLs

A member organization that elects to designate any office or location of the member organization as an RSL pursuant to this Supplementary Material shall provide FINRA with [a] current information identifying [list of] all locations designated as RSLs [by the 15th day of the month following each calendar quarter] in the frequency, manner and format (e.g., through an electronic process or such other process) as [the]FINRA may prescribe.

No other changes to NYSE Rule 3110.19(d) are proposed.

In conformity with the FINRA rule change, the Exchange proposes a November 26, 2024 implementation date for the proposed rule change. The Exchange believes that a waiver of the operative delay so that the proposal can be operative at the same time as the FINRA change will be implemented supports the waiver and would permit Exchange member organizations to rely on the same implementation date for the same changes.

(b) Statutory Basis

The proposed rule change is consistent with Section 6(b) of the Act,⁷ in general, and furthers the objectives of Section 6(b)(5),⁸ 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 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.

The Exchange believes that the proposed rule change furthers the objectives of the Act by harmonizing Exchange rules modeled on FINRA rules with respect to how member organizations that elect to designate any offices or locations as an RSL must provide information identifying such offices or locations to FINRA,

⁷ 15 U.S.C. 78f(b).

⁸ 15 U.S.C. 78f(b)(5).

resulting in less burdensome and more efficient regulatory compliance. As previously noted, the proposed changes are the same as those recently made by FINRA to FINRA Rule 3110.19(d). As such, the proposed rule change would facilitate rule harmonization among self-regulatory organizations with respect to regulatory reporting requirements, thereby fostering cooperation and coordination with persons engaged in facilitating transactions in securities and will remove impediments to and perfect the mechanism of a free and open market and a national market system.

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 proposed rule change is not intended to address competitive issues but rather is intended solely to reduce potential compliance burdens on member organizations by aligning NYSE Rule 3110.19(d) with FINRA Rule 3110.19(d) to facilitate designation of certain offices or locations as RSLs, thereby providing greater harmonization with FINRA rules.

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

Not applicable.

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

The Exchange believes that the proposal qualifies for immediate effectiveness upon filing as a "non-controversial" rule change in accordance with Section 19(b)(3)(A) of the Act⁹ and Rule 19b-4(f)(6) thereunder.¹⁰

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. In addition, 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

⁹ 15 U.S.C. 78s(b)(3)(A).

¹⁰ 17 CFR 240.19b-4(f)(6).

of filing, or such shorter time as the Commission may designate.

The Exchange believes that this filing is non-controversial and eligible to become effective immediately because the proposal promotes uniformity in the process for reporting designation of certain locations as RSLs across self-regulatory organizations. The Exchange believes that the proposed rule change would not significantly affect the protection of investors or the public interest or impose any significant burden on competition because the changes are based on FINRA rules and would align Exchange rules with those FINRA rules, which the Exchange proposes to adopt in substantially similar form that they were adopted by FINRA. Moreover, the Exchange believes that the proposed rule change would enable the Exchange to close a regulatory gap between NYSE Rule 3110(d) and FINRA's rule of similar purpose, and thus qualifies for immediate effectiveness. The Exchange further believes that the proposed rule change would not significantly affect the protection of investors or the public interest or impose any significant burden on competition because the changes are based on immediately effective rules adopted by FINRA. Finally, the proposed rule change is not intended to address competitive issues but rather is concerned solely with reducing potential compliance burdens on member organizations by aligning NYSE Rule 3110(d) with FINRA Rule 3110(d) to update the reporting of the designation of certain locations as RSLs to FINRA, thereby providing greater harmonization with FINRA rules of similar purpose. Accordingly, the Exchange believes that these proposed rule changes are eligible for immediately effective treatment under the Commission's current procedures for processing rule filings.¹¹

The Exchange respectfully requests that the Commission waive the 30-day operative delay pursuant to Section 19(b)(3)(A) of the Act¹² and Rule 19b-4(f)(6)¹³ thereunder so that the proposed rule change may become operative on November 26, 2024, the date that FINRA proposes for its changes to FINRA Rule 3110.19(d) to become operative. The Exchange believes that waiver of the operative delay would be consistent with the protection of investors and the public interest because such waiver would allow the Exchange to harmonize its Rule 3110.19(d) with the FINRA rule at the same time that FINRA has proposed for its rule change to be operative. Waiver of the operative delay would allow the Exchange to implement the proposed changes without delay on November 26, 2024, thereby eliminating the possibility of a regulatory gap between the FINRA and the Exchange rules, providing more uniform inspection standards across the securities industry, and helping to avoid confusion for Exchange member organizations that are also FINRA members. The Exchange believes that the proposed rule change would not significantly affect the protection of investors or

¹¹ 17 CFR 240.19b-4(f)(6).

¹² 15 U.S.C. 78s(b)(3)(A).

¹³ 17 CFR 240.19b-4(f)(6).

the public interest or impose any significant burden on competition because it is substantially based on a recent immediately effective FINRA rule change.

For the foregoing reasons, this rule filing qualifies for immediate effectiveness as a “non-controversial” rule change under paragraph (f)(6) of Rule 19b-4.¹⁴ At any time within 60 days of the filing of the 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.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

The proposed rule change is based on FINRA Rule 3110.19(d). Except for the conforming changes noted above, the proposed rules and their FINRA counterpart rules are substantially the same.

9. Security-Based Swap Submissions Filed Pursuant to Section 3C of the Exchange Act

Not applicable.

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

Not applicable.

11. Exhibits

Exhibit 1 Completed Notice of Proposed Rule Change for publication in the Federal Register.

Exhibit 5 Text of Proposed Rule Change.

¹⁴ 17 CFR 240.19b-4(f)(6).

SECURITIES AND EXCHANGE COMMISSION
(Release No. 34- ; File No. SR-NYSE-2024-73)

[Date]

Self-Regulatory Organizations; New York Stock Exchange LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Harmonize NYSE Rule 3110(d)

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 November 5, 2024, New York Stock Exchange LLC (“NYSE” 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 harmonize NYSE Rule 3110(d) (Obligation to Provide List of RSLs) with certain recent changes by the Financial Industry Regulatory Authority, Inc. (“FINRA”) to FINRA Rule 3110(d). The proposed rule change is available on the Exchange’s website at www.nyse.com, at the principal office of the Exchange, and at the Commission’s Public Reference Room.

¹ 15 U.S.C. 78s(b)(1).

² 15 U.S.C. 78a.

³ 17 CFR 240.19b-4.

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 harmonize NYSE Rule 3110(d) (Obligation to Provide List of RSLs⁴) to harmonize the rule with certain recent changes by FINRA. Specifically, the Exchange would remove the reference to a list of RSLs and the quarterly timeframe for member firms to provide the list to FINRA and replace it with the requirement that member firms provide current information identifying all locations designated as RSLs in the frequency, manner and format as FINRA may prescribe. The proposed rule change would harmonize the Exchange’s residential supervisory location rule with FINRA and thus promote uniform inspection standards across the securities industry. Additionally, because the proposed changes to NYSE Rule 3110.19(d) would be substantially similar to FINRA Rule 3110.19(d), this rule change enables NYSE Rule 3110 to continue to be incorporated into the agreement between NYSE and FINRA to allocate regulatory responsibility for common rules (the “17d-2 Agreement”).

Background and Proposed Rule Change

⁴ “RSL” stands for Residential Supervisory Location.

The NYSE recently adopted NYSE Rule 3110.19, which permits a member organization to designate a private residence at which an associated person engages in specified supervisory activities, subject to certain safeguards and limitations, as an RSL, a non-registered location.⁵ NYSE Rule 3110 is based on FINRA Rule 3110.⁶

Currently, NYSE Rule 3110.19(d) requires a member organization that elects to designate any of its offices or locations as an RSL to provide FINRA with a current list of those offices or locations by the 15th day of the month following each calendar quarter in the manner and format (e.g., through an electronic process or such other process) as FINRA may prescribe.

Recently, FINRA amended its Rule 3110.19(d) to replace the requirement for member firms to provide to FINRA a quarterly list of RSLs in the manner and format prescribed by FINRA with the requirement for member firms to provide to FINRA current information identifying their RSLs in the frequency, manner and format prescribed.⁷ In this regard, the locations or offices that member firms have designated as RSLs would be reported to FINRA on a rolling basis, consistent with the requirements to keep information current on the Form U4, rather than only four times per year.

⁵ See Securities Exchange Act Release No. 101325 (October 15, 2024), 89 FR 84221 (October 21, 2024) (SR-NYSE-2024-64) (Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Harmonize NYSE Rule 3110).

⁶ See *id.*, 89 FR at 84221. See generally Securities Exchange Act Release No. 73554 (November 6, 2014), 79 FR 67508 (November 13, 2014) (SR-NYSE-2014-56).

⁷ See Securities Exchange Act Release No. 101052 (September 17, 2024), 89 FR 77567 (September 23, 2024) (SR-FINRA-2024-015). As explained in its filing, FINRA amended the Form U4 Instructions to include a new question requiring FINRA member firms to indicate whether a non-registered (i.e., non-branch) location that is identified on Form U4 as a private residence is an RSL by responding “Yes” or “No” (the “RSL Question”). According to FINRA, this change rendered the requirement for FINRA member firms to provide information to FINRA identifying RSLs in a quarterly list set forth in FINRA Rule 3110.19(d) unnecessary. Moreover, the FINRA By-Laws impose a 30-day timeframe upon FINRA members to keep Form U4 current at all times, and because the RSL Question would be part of the Form U4, FINRA maintained that the 30-day updating requirement makes unnecessary the quarterly timeframe for firms to provide FINRA a list of RSLs as currently required under Rule 3110.19(d). See *id.*, 89 FR at 77569. The implementation date for these changes is November 26, 2024.

To harmonize NYSE Rule 3110.19(d) with these recent FINRA changes, the Exchange would make conforming changes to its rule, including the heading. The Exchange would also delete a stray “the” before FINRA in the last sentence of NYSE Rule 3110.19(d), as follows (deleted text in brackets, new text underlined):

(d) Obligation to Provide Information Identifying[List of] RSLs

A member organization that elects to designate any office or location of the member organization as an RSL pursuant to this Supplementary Material shall provide FINRA with [a] current information identifying [list of] all locations designated as RSLs [by the 15th day of the month following each calendar quarter] in the frequency, manner and format (e.g., through an electronic process or such other process) as [the]FINRA may prescribe.

No other changes to NYSE Rule 3110.19(d) are proposed.

In conformity with the FINRA rule change, the Exchange proposes a November 26, 2024 implementation date for the proposed rule change. The Exchange believes that a waiver of the operative delay so that the proposal can be operative at the same time as the FINRA change will be implemented supports the waiver and would permit Exchange member organizations to rely on the same implementation date for the same changes.

2. Statutory Basis

The proposed rule change is consistent with Section 6(b) of the Act,⁸ in general, and furthers the objectives of Section 6(b)(5),⁹ in particular, because it is designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade,

⁸ 15 U.S.C. 78f(b).

⁹ 15 U.S.C. 78f(b)(5).

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.

The Exchange believes that the proposed rule change furthers the objectives of the Act by harmonizing Exchange rules modeled on FINRA rules with respect to how member organizations that elect to designate any offices or locations as an RSL must provide information identifying such offices or locations to FINRA, resulting in less burdensome and more efficient regulatory compliance. As previously noted, the proposed changes are the same as those recently made by FINRA to FINRA Rule 3110.19(d). As such, the proposed rule change would facilitate rule harmonization among self-regulatory organizations with respect to regulatory reporting requirements, thereby fostering cooperation and coordination with persons engaged in facilitating transactions in securities and will remove impediments to and perfect the mechanism of a free and open market and a national market system.

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 rule change is not intended to address competitive issues but rather is intended solely to reduce potential compliance burdens on member organizations by aligning NYSE Rule 3110.19(d) with FINRA Rule 3110.19(d) to facilitate designation of certain offices or locations as RSLs, thereby providing greater harmonization with FINRA rules.

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 Act¹⁰ and Rule 19b-4(f)(6) thereunder.¹¹ 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)¹² normally does not become operative prior to 30 days after the date of the filing. However, pursuant to Rule 19b-4(f)(6)(iii),¹³ 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

¹⁰ 15 U.S.C. 78s(b)(3)(A)(iii).

¹¹ 17 CFR 240.19b-4(f)(6).

¹² 17 CFR 240.19b-4(f)(6).

¹³ 17 CFR 240.19b-4(f)(6)(iii).

Commission shall institute proceedings under Section 19(b)(2)(B)¹⁴ 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-NYSE-2024-73 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-NYSE-2024-73. 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 submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be

¹⁴ 15 U.S.C. 78s(b)(2)(B).

available for website viewing and printing in the Commission's Public Reference Room, 100 F Street NE, Washington, DC 20549, on official business days between the hours of 10 a.m. and 3 p.m. Copies of the filing also 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. All submissions should refer to file number SR-NYSE-2024-73 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.¹⁵

Sherry R. Haywood,

Assistant Secretary.

¹⁵ 17 CFR 200.30-3(a)(12).

Additions underlined.
Deletions [bracketed].

Rules of New York Stock Exchange LLC

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Rule 3110. Supervision

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••• *Supplementary Material:*

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.01 through .18 No Change

.19 Residential Supervisory Location

(a) - (c) No Change

(d) Obligation to Provide Information Identifying[List of] RSLs

A member organization that elects to designate any office or location of the member organization as an RSL pursuant to this Supplementary Material shall provide FINRA with [a] current information identifying [list of] all locations designated as RSLs [by the 15th day of the month following each calendar quarter]in the frequency, manner and format (e.g., through an electronic process or such other process) as [the]FINRA may prescribe.

(e) No Change

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