

clearing member, and the assigned broker initial code of the contra member. Members must identify price reporting tickets that represent the partial execution of a larger order in the manner prescribed by the Exchange. The card or ticket for any agency order must also include the account origin code, as set forth in Commentary .03 below. This reporting card or ticket shall immediately be time-stamped at the station where option contracts of the class involved are traded and attached to the appropriate "buy" ticket. The card or ticket shall then be placed in the price reporting card box provided at the station. Before placing the tickets in the box, the member shall use his best efforts to make sure that the Order Book Official with respect to option contracts of the class involved, or the Order Book Official clerk, is aware of the transaction and its price. In transactions when the buyer accepts tickets from the seller(s), it shall be the buyer's responsibility to time-stamp the tickets, use best efforts at securing the Order Book Staff's attention to the transaction, and submit the tickets into the box. Any floor member failing to immediately report a transaction in accordance with Rule 6.69 will be subject to disciplinary action pursuant to Rule 10.

[.02 Reporting of Trade Information. The responsibility for time stamping and reporting of trades to the Order Book is as follows:

(a) One buyer, multiple sellers—responsibility is with the buyer

(b) one seller, multiple buyers—responsibility is with the seller

(c) one buyer, one seller—responsibility is with the seller]

.03 *Origin Codes for Orders Excepted from EOC Pursuant to Rule 6.67(d).* For purposes of Rule 6.69(d), trade information includes the proper account origin codes, which are as follows: "C" for non-broker-dealer customer accounts; "F" for firm proprietary accounts; "M" for member Market Maker accounts; and "B/D" for firm orders of non-member broker-dealer accounts, stock specialist accounts, or customer account trades of the broker-dealer or non-member broker-dealer. In addition, Market Maker clearing firms are directed to instruct their respective trading desks to identify Market Maker orders that are entered from off the floor and not entitled to Market Maker margin treatment by placing a "C" after the Market Maker's number in the "firm" box on the ticket. Floor Brokers, when accepting an order by phone from a Market Maker, are similarly directed to identify that order in the same manner.

.04—No change.

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Priority and Order Allocation Procedures

Rule 6.75(a)–(h)—No change.

Commentary

.01–.03—No change.

.04 *Combination, Spread and Straddle Orders.* Following are the proper trading procedures for combination, spread and straddle orders:

(a) *Announcing the Order.* Any member holding a combination, spread, or straddle order must [write it on one ticket and must] bid or offer for each series in the order. *For orders excepted from EOC, pursuant to Rule 6.67(d), such orders must be written on a ticket.* The member may express the order as it applies to each separate series or may express the order at its total or net debit/credit alone, so long as it is clear that the member is attempting to execute both series as a combination, spread, or straddle. The executing member must ensure that the trading crowd is aware of the request for a market and has an opportunity to participate in the transaction.

(b)–(g)—No change.

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Joint Accounts

Rule 6.84(a)–(h)—No change.

Commentary

.01–.02—No change.

.03 *Transactions on the Floor will be presumed to be for the proprietary account of the individual members unless the executing member enters the joint account symbol into EOC. For orders excepted from EOC, pursuant to Rule 6.67(d), transactions on the Floor will be presumed to be for the proprietary account of the individual members unless the joint account symbol is given up and used on the trade ticket to represent the joint account as the executing member.*

.04 Any order of a joint account participant[,] that [which] is executed by a Floor Broker, *must* [shall] be in accordance with the procedures set forth in Rule 6.85, except that the joint account trading number with its alpha identification *must be entered into EOC, or, for order excepted from EOC, pursuant to Rule 6.67(d), the joint account trading number with its alpha identification must* [should] appear in the "executing firm" area. Additionally, a joint account may not bid, offer, purchase, sell, or enter orders in an option series in which a Floor Broker holds an order on behalf of the joint

account or for the proprietary account of another participant in the joint account. Orders of joint account participants in a particular option series may not be concurrently represented[,] by one or more Floor Brokers.

.05–.07—No change.

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Market Maker Orders Executed By Floor Brokers

Rule 6.85(a)–(c)—No change.

Commentary

.01–.02—No change.

.03 *Orders Excepted from EOC Pursuant to Rule 6.67(d).* Market Maker order tickets should be prepared by the Market Maker, when possible. All orders *must* [shall] be recorded and time-stamped, pursuant to Rule 6.67. Order tickets *must* [shall] include the acronym of the Market Maker entering the order in the area marked "buying firm/selling firm," with the Market Maker's name printed at the bottom of the ticket. Order tickets must be marked to indicate whether the order is "GTC" or day only. The acronym of the executing Floor Broker *must* [shall] be written in the area marked "executing member." When utilizing a "partial order" ticket to facilitate the completion of an order, the control number of the original order ticket must be written on the partial order ticket.

Except as provided in Rule 6.2(h)(5)[(4)](C) (Ticket to Follow Rule), when a Floor Broker receives a verbal order from a Market Maker, or when a Floor Broker is requested by a Market Maker to alter an order in his possession in any way, the Floor Broker *must* [shall] immediately prepare an order ticket from outside the trading crowd and timestamp it.

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Floor Broker Hand-Held Terminals

Rule 6.89(a)—No change.

(b) *Proprietary Brokerage Order Routing Terminals:*

(1)–(3)—No change.

(4)(A)—No change.

(B) *Orders Excepted from EOC Pursuant to Rule 6.67(d).* When a Member executes an order that was received over a Terminal, the Member must fill out and *immediately* time stamp a trading ticket [within one minute of the execution]. Exchange rules on record keeping and trade reporting are unchanged.

(C)–(D)—No change.

(5)–(7)—No change.

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