

Rule 6.68-O. Record of Orders

NYSE Arca Guide

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(a) Every OTP Holder or OTP Firm must maintain and preserve for the period specified under SEC Rule 17a-4, a record of every order and of any other instruction given or received for the purchase or sale of option contracts. Such record must show the terms and conditions (market order, limit order, etc.) of the order or instruction and of any modification or cancellation thereof, and in addition must include:

- (1) CMTA Information and clearing OTP Holder or Firm;
- (2) Option symbol, expiration month, exercise price, and type of option (call or put);
- (3) Side of market (buy or sell) and order type (customer, firm, firm market maker);
- (4) Quantity of option contracts;
- (5) Any limit price, stop price, or special conditions;
- (6) Opening or closing transaction;
- (7) Time in force;
- (8) Account origin code;
- (9) Solicited or unsolicited;
- (10) Order identification number;
- (11) Order entry date and time, or the date and time of any modification of the terms of the order or cancellation of the order;
- (12) Order execution time and price;
- (13) Identity of the executing broker and the other party to the transaction; and
- (14) Such other information as may be required by the Exchange.

(b) *Record Retention for Orders Excepted from EOC Pursuant to Rule 6.67-O(d)(1)(A)*. In addition to the white (control) copy, and/or hard copy, which must be kept for the entire amount of time specified in Securities Exchange Act Rule 17a-4, the green (commission) copy must also be retained for a minimum of 48 hours from the trade date. In the case of those orders executed by independent Floor Brokers, it is their responsibility to retain the green (commission) copy, and the executing OTP Holder must retain the white or hard copy. Also, all such records must be readily available for use on the trading floor for the resolution of any problems relating to the execution of these orders.

Approved: December 28, 2000 (PCX-99-44); May 17, 2004 (PCX-04-08); January 7, 2005 (PCX-04-122); May 6, 2010 (NYSEArca-2010-38); March 8, 2013 (NYSEArca-2013-21); August 17, 2017 (NYSEArca-2017-40).

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