

June 30, 2022

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**TO:** NYSE ARCA OTP HOLDERS & OTP FIRMS

**FROM:** NYSE REGULATION

**SUBJECT:** UPDATED STANDARDS OF CONDUCT FOR THE SAFETY AND WELFARE OF PERSONS ON THE OPTIONS TRADING FLOOR RELATING TO COVID-19, EFFECTIVE JUNE 30, 2022

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### **Purpose**

This memo informs OTP Holders and OTP Firms along with their associated persons (together, "OTP Holders") of an update to the Exchange's Covid-19 health and safety protocols for the trading floor (the "Floor") at One Montgomery Tower. See Arca Options RB-20-02 (April 28, 2020), Arca Options RB-21-01 (June 16, 2021), NYSE Arca Options RB-21-02 (August 3, 2021), Arca Options RB-21-03 (August 18, 2021) and NYSE Arca Options RB-22-03 (March 28, 2022) (the "Prior Health and Safety Memos").

### **Standards of Conduct During the COVID-19 Pandemic**

Effective June 30, 2022, all OTP Holders, regardless of vaccination status, are required to wear a mask at all times on the Floor. The mask must be a N95 or equivalent rated mask (strongly recommended) or Level 3 procedure mask (permissible).

Members should be aware that the policies set forth in the Prior Health and Safety Memos remain applicable, except as outlined above, and non-compliance with those policies may result in disciplinary action. Additionally, Members are reminded that if they test positive for Covid-19 or are exposed to someone who has tested positive for Covid-19, they must notify the Exchange promptly of the positive test or exposure and avoid coming to the Exchange until they receive further instruction. Such notification should be made via email to [NYSEFloorNotifications2020@nyse.com](mailto:NYSEFloorNotifications2020@nyse.com).

### **Supervision**

Pursuant to Arca Rule 11.18, an OTP Holder must implement policies and procedures reasonably designed to ensure compliance by the OTP Holder and its associated persons with the above requirements. Under Arca Rule 7.3-O(b), OTP Holders are responsible for

the acts of all non-registered employees, participants, or persons while such persons are in the NYSE Arca facilities at One Montgomery Tower.

### **Contact Information**

Regulatory questions relating to this memo should be addressed to:

- Bruce Ulriksen, Director, Regulation, Bruce.Ulriksen@nyse.com, 415-318-1952, or
- Todd Broome, Manager, Regulation, Todd.Broome@nyse.com, 415-318-1925.

Operational questions related to the subject matter of this bulletin should be addressed to [NYSE-SFTTradingFloorOfficials@theice.com](mailto:NYSE-SFTTradingFloorOfficials@theice.com).