

EXHIBIT 5 – TEXT OF PROPOSED RULE CHANGE

Proposed new language is underlined; proposed deletions are [bracketed]

**LONG-TERM STOCK EXCHANGE RULE BOOK**

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**Rule 9.218. Violations Appropriate for Disposition Under Plan Pursuant to Exchange Act Rule 19d-1(c)(2)**

- (a) Rule 2.160(p) - Continuing Education Requirements.
- (b) Rule 4.511 - General Requirements related to books and records requirements.
- (c) Rule 4.540 - Furnishing of records.
- (d) Rule 5.110 - Supervision.
- (e) Rule 8.220 - Automated submission of trading data requested.
- (f) Rule 11.151(a)(1) - Market Maker two-sided quotation requirement.
- (g) Rule 11.290 - Short sales.
- (h) Rule 11.310 - Locking or crossing quotations in NMS stocks.
- (i) Rule 11.420 - Order audit trail system requirements.
- (j) Rule Series 11.600 – Failure to comply with the Consolidated Audit Trail Compliance Rule requirements.

**Recommended Fine Schedule – Rule 9.218(a) – (i)**

<b>OCCURRENCE*</b>	<b>INDIVIDUAL</b>	<b>MEMBER</b>
First time fined	\$100	\$500
Second time fined	\$300	\$1,000
Third time fined	\$500	\$2,500

\* Within a “rolling” 12-month period.

For failures to comply with the Consolidated Audit Trail Compliance Rule requirements of the Rule Series 11.600, pursuant to Rule 9.218(j), the Exchange may impose a minor rule violation fine of up to \$2,500.

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