

Additions underlined.
Deletions [bracketed].

NYSE Rules

Disciplinary Rules (Procedural) (Rules 9000—9870)

Rule 9268. Decision of Hearing Panel or Extended Hearing Panel

(a) No change.

(b) Contents of Decision

The decision shall include:

(1)-(5) No change.

(6) a statement describing any sanction imposed, the reasons therefor, and the date upon which such sanction shall become effective. Unless otherwise provided in the decision, the sanction(s) shall become effective [on a date to be determined by Exchange staff] pursuant to paragraph (f) of this Rule.

(c)-(e) No change.

(f) Effectiveness of Sanctions

Unless otherwise provided in the majority decision issued under paragraph (a) of this Rule:

(1) a sanction (other than a bar or an expulsion) specified in a decision constituting final disciplinary action of the Exchange for purposes of SEA Rule 19d-1(c)(1) shall become effective on a date to be determined by the Exchange; and

(2) a bar or an expulsion specified in a decision shall become effective immediately upon the decision becoming the final disciplinary action of the Exchange for purposes of SEA Rule 19d-1(c)(1).

Rule 9559. Hearing Procedures for Expedited Proceedings Under the Rule 9550 Series

(a)-(q) No change.

(r) [Reserved.

(s)] Application to SEC for Review

Rule 9620. Decision

After considering an application, Exchange staff shall issue a written decision setting forth its findings and conclusions. The decision shall be served on the Applicant pursuant to Rules 9132 and 9134. After the decision is served on the Applicant, the application and decision [shall] may be publicly available [unless Exchange staff determines that the Applicant has shown good cause for treating the application or decision as confidential in whole or in part].
