

Additions underlined.
Deletions [bracketed].

Rules of New York Stock Exchange LLC

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Rule 9217. Violations Appropriate for Disposition Under Rule 9216(b)

Any member organization or covered person may be subject to a fine under Rule 9216(b) with respect to any rules listed below.

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- Rule 95 order identification requirements and prohibition of transactions which involve discretion on the Floor as to choice of security, total amount of security to be bought or sold or whether transaction is purchase or sale.
- Reporting rule violations (Rules 104A.50, 312(a), (b) & (c), 313, 345.12, 345.17, 440H, 4110.01, 4521, 4530 and 4560(a)).
- Rule 6800 Series – Failure to comply with the Consolidated Audit Trail Compliance Rule requirements.
- Rule 103(a)(i) provisions prohibiting a member organization from acting as a DMM unit on the Exchange in any security unless such member organization is registered in such security.

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These fines are intended to apply to minor violations, with the exception of fines pursuant to the Rule 6800 Series. For more serious violations, other disciplinary action may be sought.

Fine Amount	Individual
First Time Fined	\$1,000
Second Time Fined**	\$2,500
Subsequent Fines**	\$5,000
Fine Amount	Member Organization
First Time Fined	\$2,500
Subsequent Fines**	\$5,000

For failures to comply with the Consolidated Audit Trail Compliance Rule requirements of the Rule 6800 Series, the Exchange may impose a minor rule violation fine of up to \$2,500. For more serious violations, other disciplinary action may be sought.

** Within a "rolling" 24-month period.