

Additions underlined
Deletions [bracketed]

Rules of NYSE Arca, Inc.

Rule 10.9217. Violations Appropriate for Disposition Under Rule 10.9216(b)

List of Rule Violations and Fines Applicable Thereto

Any ETP Holder, OTP Holder, OTP Firm, or covered person may be subject to a fine under Rule 10.9216(b) with respect to any rules listed below.

(g) Minor Rule Plan: Record Keeping and Other Minor Rule Violations

(12) Failure to satisfy the anti-money laundering compliance program requirements set forth in Rule 2.28.

(13) Failure to comply with Notification Requirements for Offering of Securities (Rule 5.2-E(b)(1)).

(14) Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 11.6800 Series.

(h) Options Minor Rule Plan: Recommended Fine Schedule

Fine Levels

(iii) Record Keeping and Other Minor Rule Violations	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
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12. Anti-Money Laundering Compliance Program Violations (Rule 11.9) ²	\$2,000.00	\$4,000.00	\$5,000.00
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13. Failure to comply with Consolidated Audit Trail Compliance Rule (Rule 11.6800 Series)

Up to \$2,500.00

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(i) Equities Minor Rule Plan: Recommended Fine Schedule.

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Fine Levels
1st Level 2nd Level 3rd Level

(2) Record Keeping and Other Minor Rule Violations

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13. Failure to Comply with Notification Requirements for Offering of Securities (Rule 5.2-E(b)(1))

\$2,000.00 \$4,000.00 \$5,000.00

14. Failure to comply with Consolidated Audit Trail Compliance requirements set forth in the Rule 11.6800 Series

Up to \$2,500.00

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