

Amendments underscored  
Deletions [bracketed]

## **NYSE Amex Rule 476A. Imposition of Fines for Minor Violation(s) of Rules**

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### **• • • *Supplementary Material:***

#### **Part 1A: List of Equities Rule Violations and Fines Applicable Thereto**

The violations and fines listed in Part 1A are applicable to trading activity and conduct on and after December 1, 2008.

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- Rule 95 - NYSE Amex Equities 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 - NYSE Amex Equities, 304(h)(2) - NYSE Amex Equities, 312(a) - NYSE Amex Equities, 312(b) - NYSE Amex Equities, [~~&~~ 312(c) - NYSE Amex Equities, 313 - NYSE Amex Equities, 345.12 - NYSE Amex Equities, 345.17 - NYSE Amex Equities, 346(c) - NYSE Amex Equities, 351 - NYSE Amex Equities, 421 - NYSE Amex Equities, [and] 440F- NYSE Amex Equities, 440G- NYSE Amex Equities, [~~&~~ 440H- NYSE Amex Equities, 4110.01 – NYSE Amex Equities, 4521 – NYSE Amex Equities, and 4560(a) – NYSE Amex Equities)
- Rule 103.12 - NYSE Amex Equities requirements to keep and provide records to the Exchange with respect to the time DMM and DMM clerks are on the Floor of the Exchange acting in those capacities.

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- Rule 134(c) - NYSE Amex Equities and 134(e) - NYSE Amex Equities requirement to comply with specified QT procedures and time periods
- Failure to Obtain Exchange Approval Rule Violations (Rules 312(h) – NYSE Amex Equities, [~~&~~ 312(i) – NYSE Amex Equities, 342(c) - NYSE Amex Equities, 342.10 - NYSE Amex Equities, 346(e) - NYSE Amex Equities, [and] 346(f) – NYSE Amex Equities, 382(a) - NYSE Amex Equities, and 4110 – NYSE Amex Equities)
- Failure of a member organization to have individuals responsible and qualified for the positions of Financial Principal, Operations Principal, Compliance Official, Branch

Office Manager and Supervisory Analyst (Rules 342(b) - NYSE Amex Equities, 342(d) - NYSE Amex Equities, [ & ] 342.13- NYSE Amex Equities, 311(b)(5) - NYSE Amex Equities, [and] 344 - NYSE Amex Equities, and 3130(a) – NYSE Amex Equities)

- Rule 343- NYSE Amex Equities requirements relating to member organization officer sharing arrangements
- Failure of a member organization to have individuals responsible and qualified for the positions of Securities Lending Supervisor and Securities Trader Supervisor (Rule 345(a) - NYSE Amex Equities)
- Failure to obtain employer's prior written consent for engaging in an outside activity as required by Rule 346(b) - NYSE Amex Equities
- Guaranteeing a customer's account against loss or sharing in profits or losses as prohibited by Rules 352(b) - NYSE Amex Equities, [and] 352(c) - NYSE Amex Equities, and 2150(b)- and (c)- NYSE Amex Equities
- Rule 387 - NYSE Amex Equities requirements for customer COD/POD transactions
- Rules 392 - NYSE Amex Equities and 5190 – NYSE Amex Equities notification requirements
- Failure to acknowledge customer complaint within 15 business days, as required by Rule 401A - NYSE Amex Equities

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- Rule 440C - NYSE Amex Equities failure to deliver against a short sale without diligent effort to borrow
- Failure to designate and identify to the Exchange an Anti-Money Laundering contact person or persons as required by Rules 445(4) - NYSE Amex Equities and 3310(d) – NYSE Amex Equities
- Rules 451 - NYSE Amex Equities and 452 - NYSE Amex Equities requirements relating to transmission of proxy material and authorizing the giving of proxies

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