

Amendments underscored
Deletions [bracketed]

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.

- Rule 15 – NYSE Amex Equities (Pre-Opening Indications)
- Rule 19 - NYSE Amex Equities (Locking or Crossing Protected Quotations in NMS Stocks)
- Rule 35 - NYSE Amex Equities requirement that employees of members and member organizations be registered with, qualified by, and approved by the Exchange before being admitted to the Trading Floor.
- Failure to notify the Exchange's Security Office and surrender Exchange-issued identification cards within 24 hours of Floor members' or employees' termination or reassignment, or cancellation of such identification cards, as required by Rule 35.80 - NYSE Amex Equities
- Rule 36 - NYSE Amex Equities provisions governing member and member organization communications between the Floor and other locations, the use and/or possession of portable or wireless communication or trading devices, and the proper handling and reporting of "give ups".
- Rule 60 - NYSE Amex Equities requirements for dissemination of quotations for reported securities.
- Violation of the agency provisions of Rule 72[(b)](d) - NYSE Amex Equities
- Rule 79A.[30]20 - NYSE Amex Equities requirement to obtain Floor Official approval for trades at wide variations from last sale
- Rule 91.10 - NYSE Amex Equities requirements for a DMM to summon a representative of a firm who had entrusted an order with the DMM who has elected to take or supply for his or her account the securities named in the order to confirm the

acceptance or rejection of such transaction.

- 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, 440F- NYSE Amex Equities, 440G- NYSE Amex Equities,] 440H- NYSE Amex Equities, 4110.01 - NYSE Amex Equities, 4521 - NYSE Amex Equities, 4530 - NYSE Amex Equities, and 4560(a) - NYSE Amex Equities)
 - Rule 103.[12]11 - 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.
 - Rule 104[(a)(1)(A)] - NYSE Amex Equities requirements for the dealings and responsibilities of DMMs
- [• Rule 104.10 - NYSE Amex Equities (Functions of DMM)]
- [• Rule 104.12 - NYSE Amex Equities DMM investment account rule violations]
- Rule 105 - NYSE Amex Equities and Guidelines [(DMM Registered Security Option Transactions)] (DMMs' Interest in Pools, Options, and Single Stock Futures)
 - Rule 116.30 - NYSE Amex Equities requirement for DMMs' stopping stock
 - Record retention rule violations (Rules 117 - NYSE Amex Equities, 121 - NYSE Amex Equities, 123 - NYSE Amex Equities, 123A.20 - NYSE Amex Equities, 345.11 - NYSE Amex Equities, 410-NYSE Amex Equities, 432(a) - NYSE Amex Equities, 440- NYSE Amex Equities, 440I- NYSE Amex Equities and 472(c) - NYSE Amex Equities)
 - Failure to Time-Record Orders Received at the DMM's Post (Rule 121 - NYSE Amex Equities) and Failure to Time-Record Orders received at a Member's Booth from off the Floor (Rule 123 - NYSE Amex Equities)
 - Failure of a member or member organization to use standardized Floor stationery as required by Rule 123A.23 - NYSE Amex Equities
- [• Percentage Orders (Rule 123A.30 - NYSE Amex Equities)]

- Rule 123C – NYSE Amex Equities - Failure to adhere to entry and cancellation procedures for limit-at-the-close and market-at-the-close orders
- Rule 123D – NYSE Amex Equities requirements for DMMs relating to openings, re-openings, delayed openings, trading halts, and tape indications
- Failure to utilize procedures of Rule 127 - NYSE Amex Equities to satisfy all better priced limit orders when effecting block crosses outside the quote and failure to provide public orders an execution at the cross price when required by Rule 127 - NYSE Amex Equities procedures
- Failure to submit required trade data to comparison pursuant to Rule 130 - NYSE Amex Equities within time periods determined by the Exchange.
- Failure to collect and/or submit all audit trail data specified in Rule 132 - NYSE Amex Equities
- 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, 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, 344 - NYSE Amex Equities, and 3130(a) - NYSE Amex Equities)
- Rule 343- NYSE Amex Equities requirements relating to member organization office[r] 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] Rule 3270 – 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, 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
- Rule 407 - NYSE Amex Equities requirements for transactions of employees of the Exchange, members or member organizations
- Rule 407A - NYSE Amex Equities reporting and notification requirements for members
- Rule 408(a) - NYSE Amex Equities requirement that written authorization be obtained for discretionary power in a customer's account
- Rule 410A - NYSE Amex Equities requirements for automated submission of trading data
- Rule 410B - NYSE Amex Equities requirements to report transactions in Exchange listed securities not otherwise reported to the Consolidated Tape
- Rule 411(b) - NYSE Amex Equities requirement[s] to not combine the orders of several different customers to buy or sell odd-lots of the same stock, into a round lot order, without the prior approval of the customers interested [to bundle multiple odd-lot orders in the same stock, which aggregate to 100 shares or more, to aggregate the orders into round-lot orders]
- Failure to transfer a customer securities account in accordance with the requirements of Rule 412 - NYSE Amex Equities and the interpretations thereunder
- Failure to promptly provide or promptly update required membership profile information through the Exchange's Electronic Filing Platform ("EFP"), or failure to electronically certify that required membership profile information is complete and accurate, as required by Rule 416A - NYSE Amex Equities
- Rule 440B - NYSE Amex Equities short sale rule violations
- 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

- Misstatements or omission of fact on submissions filed with the Exchange (Disciplinary Rule 476(a)(10))
- Rule 460.30 - NYSE Amex Equities notification requirements
- Failure to submit books and records or to furnish information on the date or within the time period that the Exchange requires (Disciplinary Rule 476(a)(11))
- Rule 502 - NYSE Amex Equities prohibition on making a bid, offer or transaction, or routing an order, for Nasdaq Securities on or from Exchange systems before 9:30 a.m. or after the close of the Off-Hours Trading session.
- Rule 504(b)(5) - NYSE Amex Equities requirement for a DMM Unit registered in a Nasdaq Security that is an Exchange Traded Fund to report the listed concentration measures.
- Rule 504(b)(6) - NYSE Amex Equities requirement to commit staff for the trading of NYSE-listed securities separate from that for the trading of Exchange-listed securities and/or Nasdaq Securities and prohibition on trading NYSE-listed securities together with Exchange-listed securities and/or Nasdaq Securities at the same time.
- Rule 508(a)(2) - NYSE Amex Equities requirement for a DMM Unit to open trading in Nasdaq Securities at 9:30 a.m. or as soon thereafter as possible.
- Rule 508(a)(3) - NYSE Amex Equities requirement for a DMM Unit to reopen trading in Nasdaq Securities as soon as possible after a trading halt, suspension or pause has been lifted.
- Rule 508(b)(2) - NYSE Amex Equities requirements for closing a Nasdaq Security in a manual or slow market.
- Rule 509(a) - NYSE Amex Equities requirements for DMM Units.
- Rule 509(b) - NYSE Amex Equities requirements for DMM communications from the Floor.
- Rule 510(c) - NYSE Amex Equities requirements for dissemination and distribution of information for Nasdaq Securities that are derivative securities products.
- Rule 516 - NYSE Amex Equities requirements for reporting and recordkeeping of transactions in Nasdaq Securities.
- Rule 518 - NYSE Amex Equities requirements for clearance and settlement of transactions in Nasdaq Securities.