

Additions underlined.  
Deletions [bracketed].

Rules of NYSE Chicago, Inc.

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**RULE 10 DISCIPLINARY PROCEEDINGS; SUSPENSION, CANCELLATION AND REINSTATEMENT, OTHER HEARINGS AND APPEALS**

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**RULE 10.9200. DISCIPLINARY PROCEEDINGS**

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**Rule 10.9261. Evidence and Procedure in Hearing**

**(a) Submission of Documentary Evidence and List of Witnesses Before Hearing**

No Change.

**(b) Party's Right to Be Heard**

If a hearing is held, a Party shall be entitled to be heard in person, by counsel, or by the Party's representative. Upon consideration of the current public health risks presented by an in-person hearing, the Chief Hearing Officer or Deputy Chief Hearing Officer may, on a temporary basis, determine that the hearing shall be conducted, in whole or in part, by video conference.

**(c) Request to Submit Additional Evidence**

No Change.

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**RULE 10.9800. TEMPORARY CEASE AND DESIST ORDERS**

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**Rule 10.9830. Hearing**

**(a) When Held**

The hearing shall be held not later than 15 days after service of the notice and filing initiating the temporary cease and desist proceeding, unless otherwise extended by the Chief Hearing Officer or Deputy Chief Hearing Officer for good cause shown. If a Hearing Officer or Hearing Panelist is recused or disqualified, the hearing shall be held not later than five days after a replacement Hearing Officer or Hearing Panelist is appointed. Upon consideration of the current public health risks presented by an in-person hearing, the Chief Hearing Officer or Deputy Chief Hearing Officer may, on a temporary basis, determine that the hearing shall be conducted, in whole or in part, by video conference.

(b) through (h) No Change.

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