

Additions: Underlined
Deletions: [Bracketed]

Rules of NYSE Chicago, Inc.

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Rule 10.9000. CODE OF PROCEDURE

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Rule 10.9200. DISCIPLINARY PROCEEDINGS

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Rule 10.9521. Purpose and Definitions

(a) Purpose

The Rule 10.9520 Series sets forth procedures for a covered person to become or remain associated with a Participant or Participant Firm notwithstanding the existence of a statutory disqualification as defined in Section 3(a)(39) of the Exchange Act and for a current Participant, Participant Firm or covered person to obtain relief from the eligibility or qualification requirements of the Exchange's Rules. Such actions hereinafter are referred to as "eligibility proceedings."

(b) Definitions

(1) The term "Application" means FINRA's Form MC-400 for covered persons or Form MC-400A for Participants or Participant Firms filed with FINRA's [D]department of [Registration and Disclosure ("RAD")]Credentialing, Registration, Education and Disclosure ("CRED").

(2) The term "disqualified Participant" or "disqualified Participant Firm" means a broker, dealer, municipal securities broker or dealer, government securities broker or dealer, or Participant that is or becomes subject to a disqualification or is otherwise ineligible for membership under Exchange rules.

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Rule 10.9522. Initiation of Eligibility Proceeding; Member Regulation Consideration

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(b) Obligation of Participant or Participant Firm to Initiate Proceeding

(1) A Participant or Participant Firm shall file an application or, in the case of a matter set forth in Rule 10.9522(e)(1), a written request for relief, with [RAD]CRED, if the Participant or Participant Firm determines prior to receiving a notice under paragraph (a) that:

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(c) Withdrawal of Application

A Participant or Participant Firm may withdraw its application or written request for relief prior to a hearing by filing a written notice with [RAD]CRED pursuant to Rules 10.9135, 10.9136, and 10.9137. A Participant or Participant Firm may withdraw its application after the start of a hearing but prior to the issuance of a decision by the Exchange Board of Directors by filing a written notice with [RAD]CRED and the CRO pursuant to Rules 10.9135, 10.9136, and 10.9137.

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(e) Member Regulation Consideration

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(3) Rights of Disqualified Participant or Participant Firm, Sponsoring Participant or Participant Firm, Disqualified Person, and Department of Member Regulation

(A) In the event the Department of Member Regulation does not approve a written request for relief from the eligibility requirements pursuant to paragraph (e)(1), the disqualified Participant or Participant Firm or sponsoring Participant or Participant Firm may file an application, and such Participant or Participant Firm shall have the right to proceed under Rule 10.9523 or 10.9524, as applicable. The Department of Member Regulation may require a disqualified Participant or Participant Firm or sponsoring Participant or Participant Firm to file an application with [RAD]CRED, notwithstanding the provisions of paragraph (e)(1).

(B) In the event the Department of Member Regulation does not approve an application pursuant to paragraph (e)(2), the disqualified Participant or Participant Firm or sponsoring Participant or Participant Firm shall have the right to proceed under Rule 10.9523 or 10.9524, as applicable.

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