

Amendments underscored

Deletions [bracketed]

**Rule 476. Disciplinary Proceedings Involving Charges Against Members, Member Organizations, [Allied Members,] Principal Executives, Approved Persons, Employees, or Others**

(a) If a member, member organization, [allied member,] principal executive, approved person, registered or non-registered employee of a member or member organization or person otherwise subject to the jurisdiction of the Exchange is adjudged guilty in a proceeding under this Rule of any of the following offenses-

(1) - (4) No changes.

(5) [fraud or fraudulent acts] effecting any transaction in, or inducing the purchase or sale of, any security by means of any manipulative, deceptive or other fraudulent device or contrivance;

(6) [Reserved.] failing to observe high standards of commercial honor and just and equitable principles of trade;

(7) - (11) No changes.

\* \* \* \* \*