

Amendments underscored  
Deletions [bracketed]

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

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**• • • *Supplementary Material:***

**List of Exchange Rule Violations and Fines  
Applicable Thereto Pursuant to Rule 476A**

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- Rule 95 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 97.40, 104A.50, 107A.30, 112A.10, 304(h)(2), 312(a), (b) & (c), 313, 345.12, 345.17, 346(c), 351, 421, 440F, G & H, [and] 706, 4110.01, 4521, and 4560(a))
- Rule 103.12 requirements to keep and provide records to the Exchange with respect to the time DMMs and DMM clerks are on the Floor of the Exchange acting in those capacities.

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- Rule 134(c) and (e) requirement to comply with specified QT procedures and time periods
- Failure to Obtain Exchange Approval Rule Violations (Rules 312(h) & (i), 342(c), 342.10, 346(e) & [and] (f), 382(a), [and] 791(c), and 4110))
- 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), (d) & . 13, 311(b)(5), [and] 344, and 3130(a))
- Rule 343 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))

- Failure to obtain employer's prior written consent for engaging in an outside activity as required by Rule 346(b)
- Guaranteeing a customer's account against loss or sharing in profits or losses as prohibited by Rules 352(b) & [and] (c), and 2150(b) & (c)
- Rule 387 requirements for customer COD/POD transactions
- Rules 392 and 5190 notification requirements
- Failure to acknowledge customer complaint within 15 business days, as required by Rule 401A

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- Rule 440C 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) and 3310(d)
- Rules 451 and 452 requirements relating to transmission of proxy material and authorizing the giving of proxies

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