

Additions underlined.
Deletions [bracketed].

Rules of New York Stock Exchange LLC

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Rule 9216. Acceptance, Waiver, and Consent; [Plan Pursuant to SEA Rule 19d-1(c)(2)]Procedure for Imposition of Fines for Minor Violation(s) of Rules

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(b) Procedure for Imposition of Fines for Minor Violation(s) of Rules[Violation Under Plan Pursuant to SEA Rule 19d-1(c)(2)]

(1) Notwithstanding Rule 9211, the Exchange may, subject to the requirements set forth in paragraphs (b)(2) through (b)(4)[and in SEA Rule 19d-1(c)(2)], impose a fine in accordance with the fine amounts and fine levels set forth in Rule 9217 [(not to exceed \$2,500)]and/or a censure on any member organization or covered person with respect to any rule listed in Rule 9217. If Enforcement has reason to believe a violation has occurred and if the member organization or covered person does not dispute the violation, Enforcement may prepare and request that the member organization or covered person execute a minor rule violation plan letter accepting a finding of violation, consenting to the imposition of sanctions, and agreeing to waive such member organization's or covered person's right to a hearing before a Hearing Panel or, if applicable, an Extended Hearing Panel, and any right of review by the Exchange Board of Directors, the SEC, and the courts, or to otherwise challenge the validity of the letter, if the letter is accepted. The letter shall describe the act or practice engaged in or omitted, the rule, regulation, or statutory provision violated, and the sanction or sanctions to be imposed. Unless the letter states otherwise, the effective date of any sanction(s) imposed will be a date to be determined by Regulatory Staff.

(2) - (4) No Change

Rule 9217. Violations Appropriate for Disposition Under Rule 9216(b)[Plan Pursuant to SEA Rule 19d-1(c)(2)]

Any member organization or covered person may be subject to a fine under Rule 9216(b) with respect to any rules listed below.

Nothing in this Rule shall require the Exchange to impose a fine for a violation of any rule under this Minor Rule Plan. If the Exchange determines that any violation is not minor in nature, the Exchange may, at its discretion, proceed under the Rule 9000 Series rather than under this Rule.

- Failure to comply with the Authorized Trader requirements of Rule 7.30.
- Rule 15 (Pre-Opening Indications) and Rule 15A (Order Protection Rule).
- Rule 35 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.
- Rule 36 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 requirements for dissemination of quotations for reported securities.
- Violation of the agency provisions of Rule 72(d).
- Rule 76 requirements for manual crossing of orders.
- Rule 91.10 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 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, 312(a), (b) & (c), 313, 345.12, 345.17, 440H, [706,]4110.01, 4521, 4530 and 4560(a)).
- Rule 103(a)(i) provisions prohibiting a member organization from acting as a DMM unit on the Exchange in any security unless such member organization is registered in such security.
- Rule 103.11 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.
- Rule 104 requirements for the dealings and responsibilities of DMMs.
- Rule 105 and Guidelines (DMMs' Interest in Pools, Options, and Single Stock Futures)

- Rule 116.30 requirement for DMM's stopping stock.
- Record retention rule violations (Rules 117, 121, 123, 123A.20, 345.11, 410, 432(a), 440, 440I and 472(d)).
- Failure to Time-Record Orders Received at the DMM's Post (Rule 121) and Failure to Time-Record Orders received at a Member's Booth from off the Floor (Rule 123).
- Failure of a member or member organization to use standardized Floor stationery as required by Rule 123A.23.
- Rule 123C - Failure to adhere to entry and cancellation procedures for limit-at-the-close and market-at-the-close orders.
- Rule 123D requirements for DMMs relating to openings, re-openings, delayed openings, and trading halts.
- Failure to utilize procedures of Rule 127 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 procedures.
- Failure to submit required trade data to comparison pursuant to Rule 130 within time periods determined by the Exchange.
- Failure to collect all audit trail data specified in Rule 132.
- 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)[, 382(a), 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, 311(b)(5), 344, 3[0]110(a) and 3130(a)).
- [Failure of a member organization to have individuals responsible and qualified for the position of Securities Lending Supervisor (Rule 345(a)).]Failure to comply with the employee registration or other requirements of Rule 345.
- Rule 1210 requirement that each person engaged in the investment banking or securities business of a member organization be registered with the Exchange as a representative or principal in each category of registration appropriate to his or her functions and responsibilities as specified in Rule 1220.

- Failure to obtain employer's prior written consent for engaging in an outside activity as required by Rule 3270.
- Guaranteeing a customer's account against loss or sharing in profits or losses as prohibited by Rules [352(b) & (c), and]2150(b) & (c).
- Rule 387 requirements for customer COD/POD transactions.
- Rule[s 392 and] 5190 notification requirements.
- Failure to establish and maintain a system to supervise the activities of each associated person that is reasonably designed to achieve compliance with applicable securities laws and regulations, and with applicable Exchange rules as required by Rule 3110(a).
- Failure to establish, maintain, and enforce written procedures to supervise the types of business in which it engages and the activities of its associated persons that are reasonably designed to achieve compliance with applicable securities laws and regulations, and with applicable Exchange rules as required by Rule 3110(b)(1).
- Failure to acknowledge customer complaint as required by Rule 3110(b)(5).
- Rule 407 requirements for transactions of employees of the Exchange, members or member organizations.
- Rule 407A reporting and notification requirements for members.
- Rule 408(a) requirement that written authorization be obtained for discretionary power in a customer's account.
- [Rule 410A and]Rule 8211 requirements for automated submission of trading data.
- Rule 411(b) requirement 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.
- Failure to transfer a customer securities account in accordance with the requirements of Rule 412 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.
- Rule 440B short sale rule violations.
- 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 Rule[s 445(4) and] 3310(d).
- Rules 451 and 452 requirements relating to transmission of proxy material and authorizing the giving of proxies.
- Misstatements or omission of fact on submissions filed with the Exchange (Rule 476(a)(10)).
- Rule 460.30 notification requirements.
- Failure to submit books and records or to furnish information on the date or within the time period that the Exchange requires (Rules 476(a)(11) and 8210).
- Failure of new member to adhere to order execution supervision procedures during period the member is required to wear a temporary badge.
- Failure to adhere to procedures for automatic execution of orders under the NYSE DIRECT + ® facility (Rules 1000-1004).

The following fine schedule sets forth the amount of the fine(s) to be imposed. Except as noted below, the amount of the fine(s) shall be imposed at the First Level pursuant to the chart below. If another Minor Rule Plan Fine has been issued to the same member organization or covered person for the same or similar conduct violating the same rule (regardless of when paid) within 24 months from the date of occurrence of the violation(s) set forth in the current minor rule violation plan letter, then the fine(s) shall be imposed at the Second Level. If two or more separate minor rule violation plan letters have previously been issued to the same member organization or covered person for the same or similar conduct violating the same rule within 24 months from the date of occurrence of the violation(s) set forth in the current minor rule violation plan letter, then the fine(s) shall be imposed at the Third Level.

These fines are intended to apply to minor violations. For more serious violations, other disciplinary action may be sought.

<u>Fine Amount</u>	<u>Individual</u>
<u>First Time Fined</u>	<u>\$1,000</u>
<u>Second Time Fined**</u>	<u>\$2,500</u>
<u>Subsequent Fines**</u>	<u>\$5,000</u>
<u>Fine Amount</u>	<u>Member Organization</u>

<u>First Time Fined</u>	<u>\$2,500</u>
<u>Subsequent Fines**</u>	<u>\$5,000</u>

** Within a "rolling" 24-month period.

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