

Additions: Underlined
Deletions: [Bracketed]

Rules of New York Stock Exchange LLC

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Rule 9217. Violations Appropriate for Disposition Under Rule 9216(b)

(a) Any member organization or covered person may be subject to a fine, not to exceed \$5,000, under Rule 9216(b) with respect to any rules listed below.

(b) Regulatory Staff designated by the Exchange shall have the authority to impose a fine pursuant to this Rule.

(c) Any person or organization found in violation of a minor rule is not required to report such violation on SEC Form BD or Form U-4 if the sanction imposed consists of a fine not exceeding \$2,500 and the sanctioned person or organization has not sought an adjudication, including a hearing, or otherwise exhausted the administrative remedies available with respect to the matter. Any fine imposed in excess of \$2,500 is subject to current rather than quarterly reporting to the Commission pursuant to Rule 19d-1 under the Act.

(d) 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.

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