

Additions underlined.
Deletions [bracketed].

Rules of NYSE American LLC

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

Any member organization or covered person may be subject to a fine under Rule 9216(b) with respect to any rules listed below. The fine amounts and fine levels set forth below shall apply to the fines imposed.

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.

List of Equities Rule Violations and Fines Applicable Thereto

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- 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 311(b)(5) - Equities, 344 - Equities, 3110(a) - Equities and 3130(a) - Equities)
- 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) - Equities
- 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) - Equities
- Failure to acknowledge customer complaint as required by Rule 3110(b)(5) - Equities

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List of Options Rule Violations and Fines Applicable Thereto

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(ii) Minor Rule Plan: Record Keeping and Other Minor Rule Violations

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- (7) Failure to comply with the Supervision requirements set forth in Rule 320, including but not limited to, an ATP Holder's failure to:
- (a) supervise persons associated with it to assure their compliance with the federal securities laws and the Constitution and Rules of the Exchange (Rule 320(e)); or
 - (b) establish and maintain a system to supervise the activities of its associated persons and the operations of its business that is reasonably designed to ensure compliance with applicable federal securities laws and regulations and NYSE American [Arca] Rules (Rule 320(e)); or
 - (c) establish, maintain, and enforce written procedures to supervise the business in which it engages and the activities of its associated persons that are reasonably designed to achieve compliance with applicable federal securities laws and regulations and with the Rules (Rule 320(e)).

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