

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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- Rule 95 - Equities 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 - Equities, 312(a) - Equities, 312(b) - Equities, 312(c) - Equities, 313 - Equities, 345.12 - Equities, 345.17 - Equities, 440H-Equities, 4110.01 - Equities, 4521 - Equities, 4530 - Equities, and 4560(a) - Equities)
- Rule 6800 Series of the Office Rules – Failure to comply with the Consolidated Audit Trail Compliance Rule requirements.
- Rule 103.11 - Equities requirements to keep and provide records to the Exchange with respect to the time DMM and DMM clerks are on the Floor of the Exchange acting in those capacities.
- Rule 104 - Equities requirements for the dealings and responsibilities of DMMs

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- Rule 516 - Equities requirements for reporting and recordkeeping of transactions in Nasdaq Securities.

- Rule 518 - Equities requirements for clearance and settlement of transactions in Nasdaq Securities.

These fines are intended to apply to minor violations, with the exception of fines pursuant to the Rule 6800 Series. For more serious violations, other disciplinary action may be sought.

<b>Fine Amount</b>	<b>Individual</b>	<b>Member Organization</b>
1st Offense	\$500	\$1,000
2nd Offense*	\$1,000	\$2,500
Subsequent Offenses*	\$2,500	\$5,000

For failures to comply with the Consolidated Audit Trail Compliance Rule requirements of the Rule 6800 Series, the Exchange may impose a minor rule violation fine of up to \$2,500. For more serious violations, other disciplinary action may be sought.

\*Within a "rolling" 24 month period from the date of the violation.

### **List of Options Rule Violations and Fines Applicable Thereto**

#### i. Minor Rule Plan: Options Floor Decorum and Minor Trading Rule Violations<sup>1</sup>

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#### ii. Minor Rule Plan: Record Keeping and Other Minor Rule Violations

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11. Failure to comply with the Employee Registration or other requirements of Rule 341.
12. Failure to satisfy the anti-money laundering compliance program requirements set forth in Rule 432.
13. Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6800 Series of the Office Rules.

#### iii. Minor Rule Plan: Recommended Fine Schedule

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 ATP Holder, or associated 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 Notice of Minor Rule Plan Fine, then the fine(s) shall be imposed at the Second Level. If two or more separate Notices of Minor Rule Plan Fine have previously been issued to the same ATP Holder or associated 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 Notice of Minor Rule Plan Fine, 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.

<b>Options Floor Decorum and Minor Trading Rule Violations</b>	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
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39. Failure to complete mandatory regulatory training. (Rule 50, Commentary .03-.04)	\$1,000.00	\$2,500.00	\$5,000.00
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	<i>Fine Levels</i>		
<b>(ii) Record Keeping and Other Minor Rule Violations</b>	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>

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12. Anti-Money Laundering Compliance Program Violations (Rule 432) <sup>2</sup>	\$2,000.00	\$4,000.00	\$5,000.00
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13. <u>Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6800 Series of the Office Rules</u>	<u>Up to \$2,500</u>
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