

Additions: Underlined

Deletions: [Bracketed]

Rules of NYSE American 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. The fine amounts and fine levels set forth below shall apply to the fines imposed.

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

(c) Any member organization or covered person 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 member organization or covered person 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.

List of Equities Rule Violations and Fines Applicable Thereto

[(a)]Trading Rule Violations.

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[(b)]Record Keeping and Other Minor Rule Violations.

- Failure to comply with the requirements for preventing the misuse of material nonpublic information as set forth in Rule 6.3E and its Commentaries.
- Failure to comply with the books and records requirements of Rule 2.24E.
- Failure to comply with the employee registration or other requirements of Rule 2.21E.

• Failure to comply with the requirement of Rule 2.1210 of the Office Rules 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 2.1220.

• Rule 6800 - Series of the Office Rules – Failure to comply with the Consolidated Audit Trail Compliance Rule requirements.

[(c)]Legacy Minor Rules

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[(d)]Fine Schedule

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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.

[(1)]Trading Rule Violations Fine Levels

	<i>Fine Levels</i>		
	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
[1.] <u>Short Sale Rules.</u> (Rule 7.16E)	\$500.00	\$1,000.00	\$2,500.00
[2.] <u>Failure to maintain continuous two-sided Q Orders in those securities in which the Market Maker is registered to trade.</u> (Rule 7.23E(a)(1))	\$250.00	\$500.00	\$1,000.00
[3.] <u>Failure to comply with Authorized Trader requirements.</u> (Rule 7.30E).	\$1,000.00	\$2,500.00	\$3,500.00
[4.] <u>Acting as a Market Maker in a security without being registered as such as required by Rule 7.20E(a).</u>	\$250.00	\$500.00	\$1,000.00
[5.] <u>Prearranged Trades.</u> (Rule 6.15E).	\$1,000.00	\$2,500.00	\$3,500.00

[(2)]Record Keeping and Other Minor Rule Violations Fine Levels

	<i>Fine Levels</i>		
	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
[1.] • Failure to comply with the requirements for preventing the Misuse of Material Nonpublic Information as set forth in Rule 6.3E and its Commentaries	\$2,000.00	\$4,000.00	\$5,000.00
[2.] • Failure to comply with the books and records requirements of Rule 2.24E.	\$2,000.00	\$4,000.00	\$5,000.00
[3.] • Failure to comply with the employee registration or other requirements of Rule 2.21E. ¹	\$1,000.00	\$2,500.00	\$3,500.00
• <u>Failure to comply with the registration requirements of Rule 2.1210 of the Office Rules.</u>	<u>\$1,000.00</u>	<u>\$2,500.00</u>	<u>\$3,500.00</u>
• <u>Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6800 Series of the Office Rules.</u> ²			

¹ In addition to the specified fines, the Exchange may require the violator to remit all fees that it should have paid to the Exchange pursuant to compliance with Rule 2.21E.

² 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.

[(e)]Legacy Minor Rules Fine Schedule

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List of Options Rule Violations and Fines Applicable Thereto

[(i) Minor Rule Plan: Options Floor Decorum and Minor]Trading Rule Violations and Options Floor Decorum¹

[(1)]• Floor Broker failed to use due diligence in the handling or execution of an order. (Rule 933NY)

[(2)]• Failure to comply with the order format and system entry requirements of Rule 955NY or proper documentation of time stamps (Rule 955NY)

- [(3)]• Floor Broker improperly executed a cross transaction. (Rule 934NY-934.3NY)
- [(4)]• Market Maker or Floor Broker violated procedures concerning the Market Maker's use of a Floor Broker to effect transactions. (Rule 936NY and 925.3NY)
- [(5)]• Market Maker failed to respond to a call for Market Makers by a Trading Official. (Rule 940NY)
- [(6)]• Market Maker failed to respond to demands for bids and/or offers. (Rule 925NY)
- [(7)]• ATP Holder failed to give up the name of the clearing member by open outcry when requesting a quote and size of the market or after effecting a trade. (Rule 954NY)
- [(8)]• ATP Holder failed to remain accessible for a specified amount of time after trade processing. (Rule 964)
- [(9)]• ATP Holder failed to honor a guaranteed market. (Rules 927NY and 970NY)
- [(10)]• ATP Holder failed to identify broker-dealer order. (Rules 954NY(c) and 970NY)
- [(11)]• Improper communication on the floor. (Rule 902NY, Commentary .02.)
- [(12)]• ATP Holder established or maintained a telephonic communication between the Floor and another location, or between locations on the Floor, without prior registration with the Exchange (Rule 902NY(i)); ATP Holder established or maintained an alternative communication device between the Floor and another location, or between locations on the Floor, without the prior approval of the Exchange (Rule 902NY(i)).
- [(13)]• Improper vocalization of a trade. (Rules 959NY and 961NY)
- [(14)]• Violation of rules related to floor decorum. (Rule 902NY)
- [(15)]• Disruptive action involving physical contact while on the Trading Floor. (Rule 902NY)
- [(16)]• ATP Holder used abusive language on the Trading Floor. (Rule 902NY)

- [(17)]• Position Limit or Exercise Limit Violation. (Rule 904, 904C, 905, 905C, 1107, 1108)
- [(18)]• Failure to meet 75% Primary Appointment Requirement. (Rule 923NY)
- [(19)]• Failure to comply with Authorized Trader rules. (Rule 921.1NY).
- [(20)]• Violation of rules on visitors to the Options Floor. (Rule 902NY)
- [(21)]• Misuse of ATP Holder badge or identification. (Rule 902NY)
- [(22)]• Violation of rules pertaining to Exercise of Option Contracts (Rule 980 and 980C)
- [(23)]• Failure to satisfy the Order Exposure Requirements set forth in Rule 935NY and its Commentary.
- [(24)]• Failure to comply with the requirements for avoidance of locked markets as required by Rule 992NY.
- [(25)]• Abusing Exchange Property. (Rule 902NY)
- [(26)]• Market Maker failed to apply for an Appointment in one or more option classes. (Rule 923NY)
- [(27)]• Failure to comply with the reporting duties of Rule 957NY
- [(28)]• Failure by a Specialist or Market Maker to comply with the Quotation Requirements of Rule 925NY or 964.1NY.
- [(29)]• ATP Holder failed to honor the priority of bids and offers. (Rule 963NY)
- [(30)]• Market Maker failed to quote markets within the maximum quote spread differentials or failed to disseminate quotes accurately. (Rules 925NY and 927NY)
- [(31)]• ATP Holder traded either before the opening or after the close of market. (Rule 901NY)
- [(32)]• ATP Holder failed to maintain an accurate record of orders. (Rule 956NY)

[(33)]• Failure to maintain adequate procedures and controls to monitor and supervise the entry of electronic orders by Users to prevent the prohibited practices set forth in Rule 995NY.

[(34)]• Failure to adhere to the principles of good business practice in the conduct of business affairs, as required by Rule 16.

[(35)]• Failure to comply with the requirements for avoidance of trade-throughs set forth in Rule 991NY(a).

[(36)]• Removal of handheld wireless trading device from the Options Trading Floor or have possession of an NYSE Floor Broker Hand Held Terminal while on the Options Trading Floor (Rule 902NY(g) and (h)).

[(37)]• Effecting opening transactions in restricted series. (Rule 916 and 916C)

[(38)]• Reporting of options positions. (Rule 906(a) and 906C(a))

[(39)]• Failure to complete mandatory regulatory training. (Rule 50 Commentary .03-.04)

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

[1.]• Failure to submit trade data to the Exchange in a timely manner. (Section 9A and Rule 8211)

[2.]• Failure to furnish in a timely manner books, records or other requested information or testimony in connection with an examination of financial responsibility and/or operational conditions. (Rule 31 and Rule 8210)

[3.]• Failure to notify the Exchange of any change of address where notices may be served. (Rule 311)

[4.]• Failure to file a financial report or financial information in the type, form, manner and time prescribed by the Exchange (Rule 441). Failure to comply with the notification requirements of (Rule 440)

[5.]• Delaying, impeding or failing to cooperate in an Exchange investigation. (Rule Section 9A and Rule 8210)

[6.]• Failure to comply with the requirements for preventing the Misuse of Material Nonpublic Information as set forth in Rule 3(i) and 3(l).

- [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 Exchange 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)).

- [8]•
 - [a.]° Failure to exercise due diligence as to accounts as required by Section 7.
 - [b.]° Failure to diligently supervise all accounts and licensed personnel as required by Section 7.
 - [c.]° Failure to keep current and preserve records concerning all Customer accounts as required by Section 7.

- [9]• Failure to comply with the books and records requirements of Rule 324.

- [10]• Failure to comply with the U-4, U-5, and fingerprint submission policies. (Rule 340, Commentary .01)

- [11]• Failure to comply with the Employee Registration or other requirements of Rule 341.

- Failure to comply with the requirement of Rule 2.1210 of the Office Rules 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 2.1220.

[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.⁴

[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, with the exception of fines pursuant to the Rule 6800 Series. For more serious violations, other disciplinary action may be sought.

Options Floor Decorum and Minor Trading Rule Violations	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
[1.] • Floor Broker failed to use due diligence in the handling or execution of an order. (Rule 933NY)	\$1,000.00	\$2,500.00	\$5,000.00
[2.] • Failure to comply with the order format and system entry requirements of Rule 955NY or proper documentation of time stamps (Rule 955NY)	\$1,500.00	\$3,000.00	\$5,000.00
[3.] • Floor Broker improperly executed a cross transaction. (Rule 934NY-934.3NY)	\$1,000.00	\$2,500.00	\$3,500.00
[4.] • Market Maker or Floor Broker violated procedures concerning the Market Maker's use of a Floor Broker to effect transactions. (Rule 936NY and 925.3NY)	\$1,000.00	\$2,500.00	\$3,500.00
[5.] • Market Maker failed to respond to a call for Market Makers by a Trading Official. (Rule 940NY)	\$2,000.00	\$2,500.00	\$3,500.00
[6.] • Market Maker failed to respond to demands for bids and/or offers. (Rule 925NY)	\$1,000.00	\$2,500.00	\$3,500.00

[7.]	• ATP Holder failed to give up the name of the clearing member by open outcry when requesting a quote and size of the market or after effecting a trade. (Rule 954NY)	\$500.00	\$1,000.00	\$2,500.00
[8.]	• ATP Holder failed to remain accessible for a specified amount of time after trade processing. (Rule 964)	\$500.00	\$1,000.00	\$2,500.00
[9.]	• ATP Holder failed to honor a guaranteed market. (Rules 927NY and 970NY)	\$1,000.00	\$2,500.00	\$3,500.00
[10.]	• ATP Holder failed to identify broker-dealer order. (Rules 954NY(c) and 970NY)	\$500.00	\$1,500.00	\$3,000.00
[11.]	• Improper communication on the floor. (Rule 902NY, Commentary .02)	\$1,000.00	\$2,500.00	\$3,500.00
[12.]	• ATP Holder or ATP Firm established or maintained a telephonic communication between the Floor and another location, or between locations on the Floor, without prior registration with the Exchange (Rule 902NY(i)); ATP Holder established or maintained an alternative communication device between the Floor and another location, or between locations on the Floor, without the prior approval of the Exchange (Rule 902NY(i)).	\$500.00	\$1,000.00	\$2,500.00
[13.]	• Improper vocalization of a trade. (Rule 959NY and 961NY)	\$1,000.00	\$2,500.00	\$3,500.00
[14.]	• Violation of rules related to floor decorum (Rules 902NY)	\$1,000.00	\$2,000.00	\$3,500.00
[15.]	• Disruptive action involving physical contact while on the Trading Floor. (Rule 902NY)	\$2,000.00	\$4,000.00	\$5,000.00
[16.]	• ATP Holder used abusive language on the Trading Floor. (Rule 902NY)	\$500.00	\$2,000.00	\$3,500.00
[17.]	• Position Limit or Exercise Limit violation. (Rule 904, 904C, 905, 905C, 1107, 1108)	\$500.00	\$1,000.00	\$2,500.00
[18.]	• Failure to meet 75% Primary Appointment Requirement. (Rule 923NY)	\$1000.00	\$2500.00	\$3,500.00
[19.]	• Failure to comply with Authorized Trader rules. (Rules 921.1NY)	\$1,000.00	\$2,500.00	\$3,500.00
[20.]	• Violation of rules on visitors to the Options Floor. (Rule 902NY)	\$1,000.00	\$2,500.00	\$3,500.00
[21.]	• Misuse of ATP Holder badge identification. (Rule 902NY)	\$1,000.00	\$2,500.00	\$3,500.00
[22.]	• Violation of rules pertaining to Exercise of Options Contracts (Rule 980, 980C)	\$1,000.00	\$2,500.00	\$5,000.00
[23.]	• Failure to satisfy the Order Exposure Requirements set forth in Rule 935NY and its Commentary.	\$1,000.00	\$2,500.00	\$5,000.00

[¹ Quantifiable monetary gains attributable to these violations may be required to be disgorged in addition to the specified fine amounts.]

[24.]	• Failure to avoid locking a market (Rule 992NY)	\$500.00	\$1,000.00	\$2,500.00
[25.]	• Abusing Exchange Property (plus repair or replacement costs). (Rule 902NY)	\$1,000.00	\$2,000.00	\$3,500.00
[26.]	• Market Maker failed to apply for an Appointment in one or more option classes. (Rule 923NY)	\$1,000.00	\$2,500.00	\$5,000.00
[27.]	• Failure to comply with the reporting duties of Rule 957NY.	\$1,500.00	\$3,000.00	\$5,000.00
[28.]	• Failure by a Specialist or Market Maker to comply with the Quotation Requirements of Rule 925NY or 964.1NY.	\$1,000.00	\$2,500.00	\$5,000.00
[29.]	• ATP Holder failed to honor the priority of bids and offers. (Rule 963NY)	\$1,000.00	\$2,500.00	\$5,000.00
[30.]	• Market Maker failed to quote markets within the maximum quote spread differentials or failed to disseminate quotes accurately. (Rules 925NY and 927NY)	\$1,000.00	\$2,500.00	\$5,000.00
[31.]	• ATP Holder traded either before the opening of market or after the close of market. (Rule 901NY)	\$1,000.00	\$2,500.00	\$3,500.00
[32.]	• ATP Holder failed to maintain accurate record of orders. (Rule 956NY)	\$500.00	\$1,000.00	\$2,500.00
[33.]	• Failure to maintain adequate procedures and controls to monitor and supervise the entry of electronic orders by Users to prevent the prohibited practices set forth in Rule 995NY	\$500.00	\$1,000.00	\$2,500.00
[34.]	• Bad Business Practice (Rule 16)	\$1,000.00	\$2,500.00	\$3,500.00
[35.]	• ATP Holder engages in a pattern or practice of trading through better prices available on other exchanges (Rule 991NY(a)).	\$500	\$1000	\$2,500
[36.]	• Removal of handheld wireless trading device from the Options Trading Floor or have possession of an NYSE Floor Broker Hand Held Terminal while on the Options Trading Floor. (Rule 902NY (g) and (h))	\$1,000.00	\$2,500.00	\$3,500.00
[37.]	• Effecting opening transactions in restricted series. (Rules 916 and 916C)	\$1,000.00	\$2,500.00	\$5,000.00
[38.]	• Reporting of options. positions. (Rules 906(a) and 906C(a))	\$1,000.00	\$2,500.00	\$5,000.00
[39.]	• Failure to complete mandatory regulatory training. (Rule 50, Commentary .03-.04)	\$1,000.00	\$2,500.00	\$5,000.00

[(ii)]Record Keeping and Other Minor Rule Violations	<i>Fine Levels</i>		
	<i>1st Level</i>	<i>2nd Level</i>	<i>3rd Level</i>
[1.] • Failure to submit trade data to the Exchange in a timely manner (Section 9A and Rule 8211)	\$1,000.00	\$2,500.00	\$3,500.00
[2.] • Failure to furnish in a timely manner books, records or other requested information or testimony in connection with an examination of financial responsibility and/or operational conditions. (Rule 31 and Rule 8210)	\$2,000.00	\$4,000.00	\$5,000.00
[3.] • Failure to comply with the notification requirements of Rule 311).	\$500.00	\$1,000.00	\$2,500.00
[4.] • Failure to file a financial report or financial information in the type, form, manner and time prescribed by the Exchange. Failure to follow the notification requirements (Rule 440, 441)	\$2,000.00	\$4,000.00	\$5,000.00
[5.] • Delaying, impeding or failing to cooperate in an Exchange investigation. (Section 9A and Rule 8210)	\$3,500.00	\$4,000.00	\$5,000.00
[6.] • Failure to comply with the requirements for preventing the Misuse of Material Nonpublic Information as set forth in Rule 3(j) and 3(1).	\$2,000.00	\$4,000.00	\$5,000.00
[7.] • Failure to comply with the Supervision requirements set forth in Rule 320(e). ²	\$3,500.00	\$4,000.00	\$5,000.00
[8a.] • Failure to exercise due diligence as to accounts as required by Section 7. ²	\$3,500.00	\$4,000.00	\$5,000.00
[8b.] • Failure to diligently supervise all accounts and licensed personnel as required by Section 7. ²	\$3,500.00	\$4,000.00	\$5,000.00
[8c.] • Failure to keep current and preserve records concerning all Customer accounts as required by Section 7.	\$2,000.00	\$4,000.00	\$5,000.00
[9.] • Failure to comply with the books and records requirements of Rule 324.	\$2,000.00	\$4,000.00	\$5,000.00
[10.] • Failure to comply with the U-4, U-5, and fingerprint submission policies. (Rule 340, Commentary .01)	\$1,000.00	\$2,500.00	\$3,500.00
[11.] • Failure to comply with the Employee Registration or other requirements of Rule 341 ³	\$1,000.00	\$2,500.00	\$3,500.00

<u>• Failure to comply with the requirement of Rule 2.1210 of the Office Rules</u>	<u>\$1,000.00</u>	<u>\$2,500.00</u>	<u>\$3,500.00</u>
[12.] <u>• Anti-Money Laundering Compliance Program Violations (Rule 432)²</u>	\$2,000.00	\$4,000.00	\$5,000.00
[13.] <u>• Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6800 Series of the Office Rules⁴</u>		[Up to \$2,500]	

¹ Quantifiable monetary gains attributable to these violations may be required to be disgorged in addition to the specified fine amounts.

² In addition to the specified fines, the Exchange may require the violator to make specified changes to its supervisory or other compliance procedures.

³ In addition to the specified fines, the Exchange may require the violator to remit all fees that it should have paid to the Exchange pursuant to compliance with Rule 341.

⁴ 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.

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