

Additions underlined
Deletions [bracketed]

Rules of NYSE Chicago, Inc.

ARTICLE 12 Disciplinary Matters and Trial Proceedings Investigation and Charges

Rule 8. Minor Rule Violations

(a) In lieu of commencing a "disciplinary proceeding" as that term is used in Article 12 of the Exchange Rules and Article VII of the Exchange Constitution, the Exchange may, subject to the requirements set forth in this Rule, impose a censure or fine, not to exceed \$5,000, on any Participant, associated person, or registered or non-registered employee of a Participant, for any violation of a rule of the Exchange, which violation the Exchange shall have determined is minor in nature. For failures to comply with the Consolidated Audit Trail Compliance Rule requirements of the Rule 6.6800 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. Any censure or fine imposed pursuant to this Rule and not contested shall not be publicly reported, except as may be required by Rule 19d-1 under the Exchange Act, and as may be required by any other regulatory authority. Any censure or fine that is contested may be publicly reported to the same extent that Exchange disciplinary proceedings may be publicly reported. Any fine imposed pursuant to this Rule that (1) does not exceed \$2,500 and (2) is not contested, shall be reported by the Exchange to the Securities and Exchange Commission on a periodic, rather than a current, basis, except as may otherwise be required by Exchange Act Rule 19d-1 and by any other regulatory authority.

(h) Exchange Rules and Policies subject to the Minor Rule Violation Plan:

(1) Reporting and Record Retention Violations:

(U) Market Maker Reporting of Position Information (Article 16, Rule 6)

(V) Institutional Broker Registration and Appointment (Article 17, Rule 1)

(W) Consolidated Audit Compliance Rule (Rule 6.6800 Series) (Up to \$2,500.00)
