

Additions: Underlined  
Deletions: [Bracketed]

Rules of NYSE Chicago, Inc.

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**Rule 10.9217. Violations Appropriate for Disposition Under Rule 10.9216(b)**

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

Any Participant, Participant Firm or covered person may be subject to a fine under Rule 10.9216(b) with respect to any rules listed below.

(e) Exchange Rules and Policies subject to a Minor Rule Violation

**Reporting and Record Retention Violations**

\* \* \* \* \*

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

(24) Consolidated Audit Compliance Rule (Rule 6.6800 Series)

(25) Failure to comply with the registration requirement applicable to persons engaged in the investment banking or securities business of a Participant (Article 6, Rule 13)

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(f) Recommended Fine Schedule

**Reporting and Record Retention Violations**

<b>Rule Violation</b>	<b>Fine for First Violation*</b>	<b>Fine for Second Violation*</b>	<b>Fine for Third and Subsequent Violation*</b>
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23. Institutional Broker registration and appointment (Article 17, Rule 1)	\$250	\$750	\$1500
24. Consolidated Audit Compliance Rule (Rule 6.6800 Series)**			
25. <u>Failure to comply with the registration requirement applicable to persons engaged in the investment banking or securities business of a Participant (Article 6, Rule 13)</u>	<u>\$250</u>	<u>\$750</u>	<u>\$1500</u>

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