

New text is underlined;
Deleted text is in [brackets]

NYSE MKT Rules

Section 9B. Disciplinary Rules

RULE 9200. DISCIPLINARY PROCEEDINGS

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.

List of Equities Rule Violations and Fines Applicable Thereto

No Change.

List of Options Rule Violations and Fines Applicable Thereto

(i) Minor Rule Plan: Options Floor Decorum and Minor Trading Rule Violations¹

(1) – (34) No Change.

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

(36) – (39) No Change.

(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.

Fine Levels

(i) Options Floor Decorum and Minor Trading Rule Violations

	1st Level	2nd Level	3rd Level
--	------------------	------------------	------------------

1. - 34. No Change.

35. [Reserved.] 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. - 39. No Change.
