

Additions underlined.
Deletions [bracketed].

Rules of NYSE National, 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

(e) Trading Rule Violations.

- Short Sales. (Rule 7.16)
- Failure to maintain continuous, two-sided Q Orders in those securities in which the Market Maker is registered to trade. (Rule 7.23(a)(1)).
- Failure to comply with Authorized Trader requirements. (Rule 7.30).
- Acting as a Market Maker in a security without being registered as such as required by Rule 7.20(a).
- Committing any act prohibited by Rule 11.12.11 (Prearranged Trades).

(f) Record Keeping and Other Minor Rule Violations.

- Failure to comply with the employee registration or other requirements of Rule 2.2.
- Failure to comply with the books and records requirements of Rule 11.4.1.
- Failure to comply with the requirements for preventing the misuse of material nonpublic information as set forth in Rule 11.5.5 and its Commentaries.
- Failure to comply with the supervision requirements of Rules 11.3.2 and 11.5.1
- Failure to comply with the supervision requirements of Rules 11.3.2 and 11.5.2.
- Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6.6800 Series.

(g) Fine Schedule

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

	Fine Levels		
	1st Level	2nd Level	3rd Level
1. Failure to comply with the requirements for preventing the Misuse of Material Nonpublic Information as set forth in Rule 11.5.5	\$2,000.00	\$4,000.00	\$5,000.00
2. Failure to comply with the books and records requirements of Rule 11.4.1	\$2,000.00	\$4,000.00	\$5,000.00
3. Failure to comply with the employee registration or other requirements of Rule 2.2. ¹	\$1,000.00	\$2,500.00	\$3,500.00
4. Failure to comply with the supervision requirements of Rules 11.3.2 and 11.5.1	\$2,000.00	\$4,000.00	\$5,000.00
5. Failure to comply with the supervision requirements of Rules 11.3.2 and 11.5.2	\$2,000.00	\$4,000.00	\$5,000.00
6. <u>Failure to comply with the Consolidated Audit Trail Compliance Rule requirements set forth in the Rule 6.6800 Series</u>			<u>Up to \$2,500.00</u>

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 2.2.

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