



## REGULATORY INFORMATION BULLETIN

RB-06-43  
November 6, 2006

**TO: ALL OTP HOLDERS, OTP FIRMS, ALLIED PERSONS  
ALL ETP HOLDERS AND ETP SPONSORED PARTICIPANTS**

**FROM: ENFORCEMENT DEPARTMENT**

**SUBJECT: DISCIPLINARY SANCTIONS IMPOSED**

This Regulatory Information Bulletin advises OTP Holders, OTP Firms and Allied Persons, ETP Holders and ETP Sponsored Participants of certain final disciplinary actions that resulted in the imposition of sanctions for violations of the federal securities laws and the Bylaws and Rules of the Exchange.

**A. Disciplinary Sanctions Imposed From July 1, 2006 through September 30, 2006**

**EQUITIES:**

***The Exchange Regulatory Staff resolved the following matters pursuant to the Minor Rule Plan:***

- 05-52 An ETP firm was fined \$1050 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 05-59 An ETP firm was fined \$450 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-20 An ETP firm was fined \$300 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-22 An ETP firm was fined \$200 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-23 An ETP firm was fined \$300 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-24 An ETP firm was fined \$200 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-25 An ETP firm was fined \$100 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))
- 06-27 An ETP firm was fined \$100 for failing to maintain continuous, two-sided Q-Orders in those securities in which the firm is registered as a Market Maker. (NYSE Arca Equities Rule 7.23(a)(1))

Questions regarding disciplinary sanctions may be directed to Chris Hill at (312) 442-7944.