



REGULATORY INFORMATION BULLETIN

RB-07-66
August 20, 2007

**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.

Disciplinary Sanctions Imposed From April 1, 2007 through June 30, 2007

OPTIONS:

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

- OS0602081 An OTP Holder was fined \$250 for failing to report Options Transactions within 90 seconds after execution. (NYSE Arca Rule 6.69(a))
- OS0601091 An OTP Holder was fined \$750 for failing to report Options Transactions within 90 seconds after execution. (NYSE Arca Rule 6.69(a))
- OS0604271 An OTP Holder was fined \$500 for using abusive language on the trading floor. (NYSE Arca Rule 6.2(c)(2))

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