



## REGULATORY INFORMATION BULLETIN

RB-07-81  
October 11, 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 all 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 July 1, 2007 through September 30, 2007**

**OPTIONS:**

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

OS0512012	An OTP Holder was fined \$500 for using abusive language on the trading floor. (NYSE Arca Rule 6.2)
OS0606011	An OTP Firm was fined \$500 for violating the EOC Entry Requirements. (NYSE Arca Rule 6.67(c))
OS0703121 OS0703122	An OTP Firm was fined \$1000 for violating the EOC Entry Requirements. (NYSE Arca Rule 6.67(c))
N/A	An OTP Firm was fined \$750 for late filing of their 2006 FOCUS Report. (NYSE Arca Rule 4.11(b)(1))

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