

Attachment A

Guideline	Rules
Engaging in Prohibited Municipal Securities Business	MSRB Rule G-37
Regulation T and Margin Requirements—Violations of Regulation T or FINRA Margin Requirements	Regulation T; Part 220 Issued by the Board of Governors of the Federal Reserve Board; and FINRA Rules 2010 and 4210
Confidentiality Agreements—Settling With Customer in Exchange for Customer Agreement Not to Cooperate With Regulatory Authorities	FINRA Rule 2010
Continuing Education (Firm Element)—Failure to Comply With Rule Requirements	FINRA Rules 2010 and 1250
Continuing Education (Regulatory Element)—Failure to Comply With Rule Requirements	FINRA Rules 2010 and 1250
Anti-Intimidation/Coordination—Failure to Comply With Rule Requirements	FINRA Rules 2010 and 5240
Backing Away	FINRA Rules 2010 and 5220
ECN Display Rule—Failure to Comply With Rule Requirements	FINRA Rule 2010 and Regulation NMS, Rule 602
Failure to Display Minimum Size in NASDAQ Securities, CQS Securities and OTC Bulletin Board Securities	FINRA Rules 2010, 6170 and 6272, and Exchange Act Rule 144A
Order Audit Trail System (OATS)—Late Reporting; Failing to Report; False, Inaccurate or Misleading Reporting; and Clock Synchronization Failure	FINRA Rules 7400 through 7460
Passive Market Making Violations	FINRA Rule 2010 and Regulation M
Prohibition on Transactions, Publication of Quotations or Publication of Indications of Interest During a Trading Halt	FINRA Rules 2010 and 5260
MSRB Rule G-37 Reporting—Late Filing; Failing to File; Filing False or Misleading Reports	MSRB Rule G-37
Day-Trading Accounts—Failure to Comply With Risk Disclosure Requirements; Failure Appropriately to Approve an Account for Day Trading; Failure to Preserve Required Day-Trading Records	FINRA Rules 2130 and 2270

Guideline	Rules
Guaranteeing a Customer Against Loss	FINRA Rules 2010 and 2150
Institutional Communications—Failing to Establish and Maintain Written Procedures in Compliance With Rule Standards; Failing to Comply With Rule Standards Regarding Recordkeeping	FINRA Rule 2210
Penny Stock Rules—Failure to Comply With Rule Requirements	FINRA Rule 2010 and Exchange Act Rules 15g-1 through 15g-9
Trading Ahead of Research Reports	FINRA Rules 2010 and 5280
Disqualified Persons—Failure to Discharge Supervisory Obligations	FINRA Rules 2010 and 3110
Supervision—Failure to Comply With Taping Rule Requirements	FINRA Rules 2010 and 3170