

SECTION 9.4.3: CATEGORY III VIOLATIONS: These violations pertain to possession and use of the Supra DisplayKEY, eKEY and Lockboxes.

- A. **Staff Action:** CMLS staff will confirm a violation in fact. If there is no violation the matter is closed with CMLS staff contacting the person who filed the original complaint when that person has requested notification of the alleged violation outcome. When the respondent has violated the CMLS Rules and Regulations, CMLS will send a "Listing Complaint and Fine Notification" to the attention of the respondent and the respondent's Member Participant.
- B. **Fine:** See Section 9.5: Compliance Fee Schedule.
- C. **Compliance:** If possible, the respondent must correct the violation within 48 hours (including weekends and holidays).
- D. **Non Compliance:** If the respondent does not correct the violation within 48 hours (including weekends and holidays), and the respondent has not indicated plans to appeal the alleged violation, CMLS will assess a Category III Non Compliance Fine as described in Section 9.5: Compliance Fee Schedule.
- E. **Repeat Violations:** Repeat violations carry fines as outlined in Section 9.5: Compliance Fee Schedule.
- F. **Violations include (but are not limited to):** Any violation of Section 1.9 or Section 2.