

**PROPOSALS TO CHANGE ISE, NASDAQ OR PHLX RULES THAT ARE
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BX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
<p>General 3 Membership and Access</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 3 Membership and Access</p>	<p>SR-NASDAQ-2021-104 SR-NASDAQ-2021-093 SR-NASDAQ-2021-067 SR-NASDAQ-2021-033 SR-NASDAQ-2020-079 SR-NASDAQ-2020-076</p>
<p>General 4 Registration Requirements</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 4 Section 1 Registration Requirements</p>	<p>SR-NASDAQ-2020-091 SR-NASDAQ-2020-079 SR-NASDAQ-2020-073 SR-NASDAQ-2020-042</p>
<p>General 5 Discipline</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 5 Discipline</p>	<p>SR-NASDAQ-2021-104 SR-NASDAQ-2021-067 SR-NASDAQ-2021-033 SR-NASDAQ-2020-079 SR-NASDAQ-2020-076 SR-NASDAQ-2020-042 SR-NASDAQ-2020-022</p>
<p>General 6 Arbitration</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 6 Arbitration</p>	<p>SR-NASDAQ-2018-067</p>
<p>General 7 Consolidated Audit Trail Compliance</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 7 Consolidated Audit Trail Compliance</p>	<p>SR-NASDAQ-2020-099 SR-NASDAQ-2020-046 SR-NASDAQ-2020-035</p>
<p>General 9, Section 1(b) Prohibition Against Trading Ahead of Customer Orders)</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 5320 Prohibition Against Trading Ahead of Customer Orders (<i>except for FINRA Rule 5320.02(b) and the reference to FINRA Rule 6420 in FINRA Rule 5320</i>)</p>	<p>SR-FINRA-2021-017</p>
<p>General 9, Section 1(c) Front Running Policy</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 5270 Front Running of Block Transactions</p>	<p>SR-FINRA-2013-021 SR-FINRA-2012-025</p>

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<p>General 9, Section 1(f) Confirmation of Callable Common Stock</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2232 Customer Confirmations</p>	<p>SR-FINRA-2016-032</p>
<p>General 9, Section 1(g) Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2140 Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes</p>	<p>SR-FINRA-2010-060</p>
<p>General 9, Section 2 Customers' Securities or Funds</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2150 Improper Use of Customers' Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts</p>	<p>SR-FINRA-2017-004</p>
<p>General 9, Section 3 Communications with the Public</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2210 Communications with the Public (<i>except for FINRA Rule 2210(c)</i>)</p>	<p>SR-FINRA-2019-017</p>
<p>General 9, Section 5 Telemarketing</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3230 Telemarketing</p>	<p>SR-FINRA-2013-001</p>
<p>General 9, Section 6 Forwarding of Proxy and Other Issuer-Related Materials</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2251 Processing and Forwarding of Proxy and Other Issuer-Related Materials</p>	<p>SR-FINRA-2021-032 SR-FINRA-2013-056</p>
<p>General 9, Section 7 Disclosure of Financial Condition, Control Relationship with Issuer and Participation or Interest in Primary or Secondary Distribution</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2261 Disclosure of Financial Condition</p>	<p>SR-FINRA-2009-081</p>
	<p>FINRA 2262 Disclosure Control Relationship with Issuer</p>	<p>SR-FINRA-2009-044</p>
	<p>FINRA 2269 Disclosure of Participation or Interest in Primary or Secondary Distribution</p>	<p>SR-FINRA-2009-044</p>

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General 9, Section 8 SIPC Information <i>SEC Exemptive Order</i>	FINRA 2266 SIPC Information	SR-FINRA-2009-016
General 9, Section 9 Fairness Opinions <i>SEC Exemptive Order</i>	FINRA 5150 Fairness Opinions	SR-FINRA-2008-028
General 9, Section 10(a) Recommendations to Customers (Suitability) <i>SEC Exemptive Order</i>	FINRA 2111 Suitability (<i>except for the references to FINRA Rule 2214 in FINRA Rule 2111</i>)	SR-FINRA-2020-007
General 9, Section 10(c) Know Your Customer <i>SEC Exemptive Order</i>	FINRA 2090 Know Your Customer	SR-FINRA-2011-016
General 9, Section 12 Customer Account Statements <i>SEC Exemptive Order</i>	FINRA 2231 Customer Account Statements	SR-FINRA-2019-009
General 9, Section 13 Margin Disclosure Statement <i>SEC Exemptive Order</i>	FINRA 2264 Margin Disclosure Statement	SR-FINRA-2011-065
General 9, Section 14 Approval Procedures for Day-Trading Accounts <i>SEC Exemptive Order</i>	FINRA 2130 Approval Procedures for Day-Trading Accounts	SR-FINRA-2013-001
	FINRA 2270 Day-Trading Risk Disclosure Statement	SR-FINRA-2013-001
General 9, Section 15 Borrowing From or Lending to Customers <i>SEC Exemptive Order</i>	FINRA 3240 Borrowing From or Lending to Customers	SR-FINRA-2009-095

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<p>General 9, Section 16 Charges for Services Performed</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2122 Charges for Services Performed</p>	<p>SR-FINRA-2014-049</p>
<p>General 9, Section 17 Net Transactions with Customers</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2124 Net Transactions with Customers</p>	<p>SR-FINRA-2011-065</p>
<p>General 9, Section 19 Discretionary Accounts</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3260 Discretionary Accounts</p>	<p>SR-FINRA-2019-009</p>
<p>General 9, Section 20 Supervision</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rules 3110 Supervision</p>	<p>SR-FINRA-2022-001 SR-FINRA-2021-023 SR-FINRA-2020-040</p>
	<p>FINRA 3170 Tape Recording of Registered Persons by Certain Firms</p>	<p>SR-FINRA-2019-009</p>
<p>General 9, Section 21 Supervisory Control System, Annual Certification of Compliance and Supervisory Processes</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rules 3120 Supervisory Control System</p>	<p>SR-FINRA-2013-025</p>
	<p>FINRA 3130 Annual Certification of Compliance and Supervisory Processes (<i>except for the references to MSRB rules in FINRA Rule 3130</i>)</p>	<p>SR-FINRA-2008-057</p>
<p>General 9, Section 23 Outside Business Activities of an Associated Person</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3270 Outside Business Activities of Registered Persons</p>	<p>SR-FINRA-2015-030</p>
<p>General 9, Section 24 Private Securities Transactions of an Associated Person</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3280 Private Securities Transactions of an Associated Person</p>	<p>SR-FINRA-2017-004</p>

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BX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
<p>General 9, Section 25 Transactions for or by Associated Persons</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3210 Accounts At Other Broker-Dealers and Financial Institutions</p>	<p>SR-FINRA-2015-029</p>
<p>General 9, Section 26 Influencing or Rewarding Employees of Others</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 3220 Influencing or Rewarding Employees of Others</p>	<p>SR-FINRA-2008-027</p>
<p>General 9, Section 27 Reporting Requirements</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4530 Reporting Requirements <i>(except for FINRA Rule 4530(h))</i></p>	<p>SR-FINRA-2020-039</p>
<p>General 9, Section 28 Disclosure to Associated Persons When Signing Form U4</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2263 Arbitration Disclosure to Associated Persons Signing or Acknowledging Form U4 <i>(except for subsection (2) of FINRA Rule 2263)</i></p>	<p>SR-FINRA-2021-003</p>
<p>General 9, Section 30 Books and Records</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4511 General Requirements</p>	<p>SR-FINRA-2010-052</p>
<p>General 9, Section 31 Use of Information Obtained in Fiduciary Capacity</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2060 Use of Information Obtained in Fiduciary Capacity</p>	<p>SR-FINRA-2009-067</p>
<p>General 9, Section 33 Reporting Requirements for Clearing Firms</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4540 Reporting Requirements for Clearing Firms</p>	<p>SR-FINRA-2019-009</p>
<p>General 9, Section 34 Extensions of Time Under Regulation T and SEC Rule 15c3-3</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4230 Required Submissions for Requests for Extensions of Time Under Regulation T and SEA Rule 15c3-3</p>	<p>SR-FINRA-2010-024</p>

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BX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 9, Section 37 Anti-Money Laundering Compliance Program <i>SEC Exemptive Order</i>	FINRA 3310 Anti-Money Laundering Compliance Program	SR-FINRA-2018-016
General 9, Section 38(b) Margin Requirements <i>SEC Exemptive Order</i>	FINRA 4210 Margin Requirements	SR-FINRA-2015-036
General 9, Section 39(b) Fidelity Bonds <i>SEC Exemptive Order</i>	FINRA 4360 Fidelity Bonds	SR-FINRA-2010-059
General 9, Section 40 Capital Compliance <i>SEC Exemptive Order</i>	FINRA 4110 Capital Compliance	SR-FINRA-2010-002
General 9, Section 41 Regulatory Notification and Business Curtailment <i>SEC Exemptive Order</i>	FINRA 4120 Regulatory Notification and Business Curtailment	SR-FINRA-2010-024
General 9, Section 42 Audit <i>SEC Exemptive Order</i>	FINRA 4140 Audit	SR-FINRA-2008-067
General 9, Section 43 General Requirements <i>SEC Exemptive Order</i>	FINRA 4511 General Requirements	SR-FINRA-2010-052
General 9, Section 44 Records of Written Customer Complaints <i>SEC Exemptive Order</i>	FINRA 4513 Records of Written Customer Complaints	SR-FINRA-2010-052
General 9, Section 45 Customer Account Information <i>SEC Exemptive Order</i>	FINRA 4512 Customer Account Information	SR-FINRA-2019-009

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<p>General 9, Section 46 Authorization Records for Negotiable Instruments Drawn From a Customer's Account</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4514 Authorization Records for Negotiable Instruments Drawn From a Customer's Account</p>	<p>SR-FINRA-2010-052</p>
<p>General 9, Section 47 Approval and Documentation of Changes in Account Name or Designation</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4515 Approval and Documentation of Changes in Account Name or Designation</p>	<p>SR-FINRA-2019-009</p>
<p>General 9, Section 48 Notifications, Questionnaires and Reports</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 4521 Notifications, Questionnaires and Reports</p>	<p>SR-FINRA-2010-004</p>
<p>General 9, Section 64 Account Approval</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(16) Opening of Accounts</p>	<p>SR-FINRA-2020-021 SR-FINRA-2019-009</p>
<p>Equity 9, Section 15 Suitability</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(19) Suitability</p>	
<p>Equity 9, Section 16 Discretionary Accounts</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(18) Discretionary Accounts</p>	
<p>Equity 9, Section 17 Supervision of Accounts</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(20) Supervision of Accounts</p>	
<p>Equity 9, Section 18 Customer Complaints</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(17)(A) Maintenance of Records</p>	

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<p>Equity 9, Section 19 Communications with the Public and Customers Concerning Index Warrants, Currency Index Warrants, and Currency Warrants</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2220 Options Communications (<i>except for FINRA Rule 2220(c)</i>)</p>	<p>SR-FINRA-2014-045</p>
<p>Equity 9, Section 20 Maintenance of Records</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 2360(b)(17)(B) Maintenance of Records</p>	<p>SR-FINRA-2020-021 SR-FINRA-2019-009</p>
<p>Equity 10, Section 2 Investment Company Securities</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2341 Investment Company Securities (<i>except for the reference to FINRA Rule 2320 in FINRA Rule 2341</i>)</p>	<p>SR-FINRA-2020-007</p>
<p>Equity 11, Rule 11860 Acceptance and Settlement of COD Orders</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 11860 COD Orders</p>	<p>SR-FINRA-2016-047</p>
<p>Equity 11, Rule 11870 Customer Account Transfer Contracts</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 11870 Customer Account Transfer Contracts</p>	<p>SR-FINRA-2010-060</p>
<p>Options 4 Options Listing Rules</p> <p><i>SEC Exemptive Order</i></p>	<p>ISE Options 4 Options Listing Rules</p>	<p>SR-ISE-2021-20 SR-ISE-2021-14 SR-ISE-2021-09 SR-ISE-2021-07 SR-ISE-2020-38 SR-ISE-2020-11 SR-ISE-2019-17</p>
<p>Options 4A, Section 7 Position Limits for Industry and Micro-Narrow Based Index Options</p> <p><i>SEC Exemptive Order</i></p>	<p>Phlx Options 4A, Section 6 Position Limits</p>	<p>SR-Phlx-2021-28 SR-Phlx-2021-07 SR-Phlx-2020-03</p>

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Options 4A, Section 10 Exercise Limits <i>SEC Exemptive Order</i>	Phlx Options 4A, Section 10 Exercise Limits	SR-Phlx-2020-30 SR-Phlx-2020-03
Options 9, Section 13 Position Limits <i>SEC Exemptive Order</i>	Phlx Options 9, Section 13 Position Limits	SR-Phlx-2021-70 SR-Phlx-2020-30 SR-Phlx-2020-08 SR-Phlx-2020-03
Options 9, Section 15 Exercise Limits <i>SEC Exemptive Order</i>	Phlx Options 9, Section 15 Exercise Limits	SR-Phlx-2020-03