

**PROPOSALS TO CHANGE FINRA, ISE, PHLX, CBOE or NYSE RULES THAT ARE  
INCORPORATED BY REFERENCE IN THE NASDAQ RULES**

NASDAQ RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
<b>General 9, Section 1(b)</b> Prohibition Against Trading Ahead of Customer Orders <a href="#">SEC Exemptive Order</a>	<b>FINRA 5320</b> 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> )	<a href="#">SR-FINRA-2021-017</a>
<b>General 9, Section 1(c)</b> Front Running Policy <a href="#">SEC Exemptive Order</a>	<b>FINRA 5270</b> Front Running of Block Transactions	<a href="#">SR-FINRA-2013-021</a> <a href="#">SR-FINRA-2012-025</a>
<b>General 9, Section 1(f)</b> Confirmation of Callable Common Stock <a href="#">SEC Exemptive Order</a>	<b>FINRA 2232</b> Customer Confirmations	<a href="#">SR-FINRA-2016-032</a>
<b>General 9, Section 1(h)</b> Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes <a href="#">SEC Exemptive Order</a>	<b>FINRA 2140</b> Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes	<a href="#">SR-FINRA-2010-060</a>
<b>General 9, Section 2</b> Customers' Securities or Funds <a href="#">SEC Exemptive Order</a>	<b>FINRA 2150</b> Improper Use of Customers' Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts	<a href="#">SR-FINRA-2017-004</a>
<b>General 9, Section 3</b> Communications with the Public <a href="#">SEC Exemptive Order</a>	<b>FINRA 2210</b> Communications with the Public ( <i>except for FINRA Rule 2210(c)</i> )	<a href="#">SR-FINRA-2019-017</a>
<b>General 9, Section 5</b> Communications with the Public <a href="#">SEC Exemptive Order</a>	<b>FINRA 3230</b> Telemarketing	<a href="#">SR-FINRA-2013-001</a>
<b>General 9, Section 6</b> Forwarding of Proxy and Other Issuer-Related Materials <a href="#">SEC Exemptive Order</a>	<b>FINRA 2251</b> Processing and Forwarding of Proxy and Other Issuer-Related Materials	<a href="#">SR-FINRA-2021-032</a> <a href="#">SR-FINRA-2013-056</a>
<b>General 9, Section 7</b> Disclosure of Financial Condition, Control Relationship with Issuer and Participation or Interest in Primary or Secondary Distribution	<b>FINRA 2261</b> Disclosure of Financial Condition	<a href="#">SR-FINRA-2009-081</a>
	<b>FINRA 2262</b> Disclosure Control Relationship with Issuer	<a href="#">SR-FINRA-2009-044</a>

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<a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2269</b> Disclosure of Participation or Interest in Primary or Secondary Distribution	<a href="#">SR-FINRA-2009-044</a>
<b>General 9, Section 8</b> SIPC Information <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2266</b> SIPC Information	<a href="#">SR-FINRA-2009-016</a>
<b>General 9, Section 9</b> Fairness Opinions <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 5150</b> Fairness Opinions	<a href="#">SR-FINRA-2008-028</a>
<b>General 9, Section 10(a)</b> Recommendations to Customers (Suitability) <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2111</b> Suitability ( <i>except for the references to FINRA Rule 2214 in FINRA Rule 2111</i> )	<a href="#">SR-FINRA-2020-007</a>
<b>General 9, Section 10(c)</b> (Know Your Customer) <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2090</b> Know Your Customer	<a href="#">SR-FINRA-2011-016</a>
<b>General 9, Section 11</b> Best Execution and Interpositioning <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 5310</b> Best Execution and Interpositioning ( <i>except for the references to FINRA Rule 2121 and its supplementary material in FINRA Rule 5310</i> )	<a href="#">SR-FINRA-2014-023</a>
<b>General 9, Section 12</b> Customer Account Statements <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2231</b> Customer Account Statements	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 13</b> Margin Disclosure Statement <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2264</b> Margin Disclosure Statement	<a href="#">SR-FINRA-2011-065</a>
<b>General 9, Section 14</b> Approval Procedures for Day-Trading Accounts <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 2130</b> Approval Procedures for Day-Trading Accounts	<a href="#">SR-FINRA-2013-001</a>
	<b>FINRA 2270</b> Day-Trading Risk Disclosure Statement	<a href="#">SR-FINRA-2013-001</a>
<b>General 9, Section 15</b> Borrowing From or Lending to Customers <a href="#"><i>SEC Exemptive Order</i></a>	<b>FINRA 3240</b> Borrowing From or Lending to Customers	<a href="#">SR-FINRA-2009-095</a>

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<b>General 9, Section 16</b> Charges for Services Performed <a href="#">SEC Exemptive Order</a>	<b>FINRA 2122</b> Charges for Services Performed	<a href="#">SR-FINRA-2014-049</a>
<b>General 9, Section 17</b> Net Transactions with Customers <a href="#">SEC Exemptive Order</a>	<b>FINRA 2124</b> Net Transactions with Customers	<a href="#">SR-FINRA-2011-065</a>
<b>General 9, Section 19</b> Discretionary Accounts <a href="#">SEC Exemptive Order</a>	<b>FINRA 3260</b> Discretionary Accounts	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 20</b> Supervision  <a href="#">SEC Exemptive Order</a>	<b>FINRA Rules 3110</b> Supervision	<a href="#">SR-FINRA-2022-001</a> <a href="#">SR-FINRA-2021-023</a> <a href="#">SR-FINRA-2020-040</a>
	<b>FINRA 3170</b> Tape Recording of Registered Persons by Certain Firms	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 21</b> Supervisory Control System, Annual Certification of Compliance and Supervisory Processes  <a href="#">SEC Exemptive Order</a>	<b>FINRA Rules 3120</b> Supervisory Control System	<a href="#">SR-FINRA-2013-025</a>
	<b>FINRA 3130</b> Annual Certification of Compliance and Supervisory Processes <i>(except for the references to MSRB rules in FINRA Rule 3130)</i>	<a href="#">SR-FINRA-2008-057</a>
<b>General 9, Section 23</b> Outside Business Activities of an Associated Person <a href="#">SEC Exemptive Order</a>	<b>FINRA 3270</b> Outside Business Activities of Registered Persons	<a href="#">SR-FINRA-2015-030</a>
<b>General 9, Section 24</b> Private Securities Transactions of an Associated Person <a href="#">SEC Exemptive Order</a>	<b>FINRA 3280</b> Private Securities Transactions of an Associated Person	<a href="#">SR-FINRA-2017-004</a>
<b>General 9, Section 25</b> Transactions for or by Associated Persons <a href="#">SEC Exemptive Order</a>	<b>FINRA 3210</b> Accounts At Other Broker-Dealers and Financial Institutions	<a href="#">SR-FINRA-2015-029</a>
<b>General 9, Section 26</b> Influencing or Rewarding Employees of Others <a href="#">SEC Exemptive Order</a>	<b>FINRA 3220</b> Influencing or Rewarding Employees of Others	<a href="#">SR-FINRA-2008-027</a>

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<b>General 9, Section 27</b> Reporting Requirements <a href="#">SEC Exemptive Order</a>	<b>FINRA 4530</b> Reporting Requirements ( <i>except for FINRA Rule 4530(h)</i> )	<a href="#">SR-FINRA-2020-039</a>
<b>General 9, Section 28</b> Disclosure to Associated Persons When Signing Form U4 <a href="#">SEC Exemptive Order</a>	<b>FINRA 2263</b> Arbitration Disclosure to Associated Persons Signing or Acknowledging Form U4 ( <i>except for subsection (2) of FINRA Rule 2263</i> )	<a href="#">SR-FINRA-2021-003</a>
<b>General 9, Section 30</b> Books and Records <a href="#">SEC Exemptive Order</a>	<b>FINRA 4511</b> General Requirements	<a href="#">SR-FINRA-2010-052</a>
<b>General 9, Section 31</b> Use of Information Obtained in Fiduciary Capacity <a href="#">SEC Exemptive Order</a>	<b>FINRA 2060</b> Use of Information Obtained in Fiduciary Capacity	<a href="#">SR-FINRA-2009-067</a>
<b>General 9, Section 33</b> Reporting Requirements for Clearing Firms <a href="#">SEC Exemptive Order</a>	<b>FINRA 4540</b> Reporting Requirements for Clearing Firms	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 34</b> Extensions of Time Under Regulation T and SEC Rule 15c3-3 <a href="#">SEC Exemptive Order</a>	<b>FINRA 4230</b> Required Submissions for Requests for Extensions of Time Under Regulation T and SEA Rule 15c3-3	<a href="#">SR-FINRA-2010-024</a>
<b>General 9, Section 37</b> Anti-Money Laundering Compliance Program <a href="#">SEC Exemptive Order</a>	<b>FINRA 3310</b> Anti-Money Laundering Compliance Program	<a href="#">SR-FINRA-2018-016</a>
<b>General 9, Section 38(b)</b> Margin Requirements <a href="#">SEC Exemptive Order</a>	<b>FINRA 4210</b> Margin Requirements	<a href="#">SR-FINRA-2015-036</a>
<b>General 9, Section 39(b)</b> Fidelity Bonds <a href="#">SEC Exemptive Order</a>	<b>FINRA 4360</b> Fidelity Bonds	<a href="#">SR-FINRA-2010-059</a>
<b>General 9, Section 40</b> Capital Compliance <a href="#">SEC Exemptive Order</a>	<b>FINRA 4110</b> Capital Compliance	<a href="#">SR-FINRA-2010-002</a>

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<b>General 9, Section 41</b> Regulatory Notification and Business Curtailment <a href="#">SEC Exemptive Order</a>	<b>FINRA 4120</b> Regulatory Notification and Business Curtailment	<a href="#">SR-FINRA-2010-024</a>
<b>General 9, Section 42</b> Audit <a href="#">SEC Exemptive Order</a>	<b>FINRA 4140</b> Audit	<a href="#">SR-FINRA-2008-067</a>
<b>General 9, Section 43</b> General Requirements <a href="#">SEC Exemptive Order</a>	<b>FINRA 4511</b> General Requirements	<a href="#">SR-FINRA-2010-052</a>
<b>General 9, Section 44</b> Records of Written Customer Complaints <a href="#">SEC Exemptive Order</a>	<b>FINRA 4513</b> Records of Written Customer Complaints	<a href="#">SR-FINRA-2010-052</a>
<b>General 9, Section 45</b> Customer Account Information <a href="#">SEC Exemptive Order</a>	<b>FINRA 4512</b> Customer Account Information	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 46</b> Authorization Records for Negotiable Instruments Drawn From a Customer's Account <a href="#">SEC Exemptive Order</a>	<b>FINRA 4514</b> Authorization Records for Negotiable Instruments Drawn From a Customer's Account	<a href="#">SR-FINRA-2010-052</a>
<b>General 9, Section 47</b> Approval and Documentation of Changes in Account Name or Designation <a href="#">SEC Exemptive Order</a>	<b>FINRA 4515</b> Approval and Documentation of Changes in Account Name or Designation	<a href="#">SR-FINRA-2019-009</a>
<b>General 9, Section 48</b> Notifications, Questionnaires and Reports <a href="#">SEC Exemptive Order</a>	<b>FINRA 4521</b> Notifications, Questionnaires and Reports	<a href="#">SR-FINRA-2010-004</a>
<b>Equity 10, Section 1</b> Direct Participation Programs <a href="#">SEC Exemptive Order</a>	<b>FINRA 2310</b> Direct Participation Programs	<a href="#">SR-FINRA-2019-012</a>
	<b>FINRA 5110</b> Corporate Financing Rule - Underwriting Terms and Arrangements	<a href="#">SR-FINRA-2019-012</a>
<b>Equity 10, Section 2</b> Investment Company Securities <a href="#">SEC Exemptive Order</a>	<b>FINRA 2341</b> Investment Company Securities ( <i>except for the reference to FINRA Rule 2320 in FINRA Rule 2341</i> )	<a href="#">SR-FINRA-2020-007</a>

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<b>Equity 11, Rule 11860</b> Acceptance and Settlement of COD Orders <a href="#">SEC Exemptive Order</a>	<b>FINRA 11860</b> COD Orders	<a href="#">SR-FINRA-2016-047</a>
<b>Equity 11, Rule 11870</b> Customer Account Transfer Contracts <a href="#">SEC Exemptive Order</a>	<b>FINRA Rule 11870</b> Customer Account Transfer Contracts	<a href="#">SR-FINRA-2010-060</a>
<b>Options 4</b> Options Listing Rules <a href="#">SEC Exemptive Order</a>	<b>ISE Options 4</b> Options Listing Rules	<a href="#">SR-ISE-2021-20</a> <a href="#">SR-ISE-2021-14</a> <a href="#">SR-ISE-2021-09</a> <a href="#">SR-ISE-2021-07</a> <a href="#">SR-ISE-2020-38</a> <a href="#">SR-ISE-2020-11</a> <a href="#">SR-ISE-2019-17</a>
<b>Options 4A, Section 7</b> Position Limits for Industry and Micro-Narrow Based Index Options <a href="#">SEC Exemptive Order</a>	<b>Phlx Options 4A, Section 6</b> Position Limits	<a href="#">SR-Phlx-2021-28</a> <a href="#">SR-Phlx-2021-07</a> <a href="#">SR-Phlx-2020-03</a>
<b>Options 4A, Section 10</b> Exercise Limits <a href="#">SEC Exemptive Order</a>	<b>Phlx Options 4A, Section 10</b> Exercise Limits	<a href="#">SR-Phlx-2020-30</a> <a href="#">SR-Phlx-2020-03</a>
<b>Options 6C</b> Section 3 Proper and Adequate Margin <a href="#">SEC Exemptive Order</a>	<b>CBOE 10.3</b> Margin Requirements <i>initial and maintenance margin requirements</i>	<a href="#">SR-CBOE-2021-006</a> <a href="#">SR-CBOE-2020-090</a> <a href="#">SR-CBOE-2020-068</a> <a href="#">SR-CBOE-2019-069</a>
	<b>NYSE 431</b> Margin Requirements <i>initial and maintenance margin requirements</i>	<a href="#">SR-NYSE-2008-127</a>
<b>Options 9, Section 13</b> Position Limits <a href="#">SEC Exemptive Order</a>	<b>Phlx Options 9, Section 13</b> Position Limits	<a href="#">SR-Phlx-2021-70</a> <a href="#">SR-Phlx-2020-30</a> <a href="#">SR-Phlx-2020-08</a> <a href="#">SR-Phlx-2020-03</a>

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<p><b>Options 9, Section 15</b> Exercise Limits</p> <p><a href="#"><i>SEC Exemptive Order</i></a></p>	<p><b>Phlx Options 9, Section 15</b> Exercise Limits</p>	<p><a href="#">SR-Phlx-2020-03</a></p>
<p><b>Options 10, Section 20</b> Communications with Public Customers</p> <p><a href="#"><i>SEC Exemptive Order</i></a></p>	<p><b>FINRA 2220</b> Communications with Public Customers</p>	<p><a href="#">SR-FINRA-2014-045</a></p>