

The Exchange intends to begin implementation of the proposed rule changes on the dates indicated below. The Exchange will issue an Options Trader Alert to announce the launch date.

Nasdaq BX, Inc. Rules

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Equity Rules

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Equity 7 Pricing Schedule

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Section 30. Regulatory, Registration and Processing Fees

(a) The following fees will be collected and retained by FINRA via the Web Central Registration Depository (CRD) registration system for the registration of associated persons of Nasdaq members that are not also FINRA members. FINRA, on behalf of the Exchange, will bill and collect these fees.

General Registration Fees:

\$125 for each initial Form U4 filed for the registration of a representative or principal;

~~[\$110]~~155 for the additional processing of each initial or amended Form U4, Form U5 or Form BD that includes the initial reporting, amendment, or certification of one or more disclosure events or proceedings; and [OPERATIVE: 1/2/2023]

~~[\$45]~~70 FINRA Annual System Processing Fee Assessed only during Renewals.
[OPERATIVE: 1/2/2024]

Fingerprint Processing Fees:

~~[\$29.50]~~31.25-Initial Submission (Electronic) [OPERATIVE: 1/2/2023]

~~[\$44.50]~~41.25-Initial Submission (Paper) [OPERATIVE: 11/21/2022]

~~[\$15.00]~~20.00-Second Submission (Electronic) [OPERATIVE: 1/2/2023]

\$30.00-Second Submission (Paper)

~~[\$29.50]~~31.25-Third Submission (Electronic) [OPERATIVE: 1/2/2023]

~~[\$44.50]~~41.25-Third Submission (Paper) [OPERATIVE: 11/21/2022]

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