

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 GEMX, LLC Rules

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Options 7 Pricing Schedule

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Section 5. Legal & Regulatory

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B. FINRA Web CRD Fees

These fees are collected and retained by FINRA via the Web CRD registration system for the registration of associated persons of member organizations of the Exchange that are not 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 of more disclosure events or proceedings. [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: 11/29/2022]

~~§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: 11/29/2022]

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