

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 PHLX LLC Rules

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Options Rules

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Options 7 Pricing Schedule

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Section 9. Other Member Fees

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C. FINRA Fees

FINRA, on behalf of the Exchange, will bill and collect these fees

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 Exchange members that are not also FINRA members:

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 or one or 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: 11/14/2022]

~~[\$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: 11/14/2022]

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