

**PROPOSALS TO CHANGE NASDAQ/ISE RULES THAT ARE
INCORPORATED BY REFERENCE IN THE GEMX RULES**

GEMX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 4 Registration Requirements <i>SEC Exemptive Order</i>	Nasdaq General 4 Section 1 Registration Requirements	SR-NASDAQ-2020-091 SR-NASDAQ-2020-073 SR-NASDAQ-2020-042
General 5 Discipline <i>SEC Exemptive Order</i>	Nasdaq General 5 Discipline	SR-NASDAQ-2020-076
General 7 Consolidated Audit Trail Compliance <i>SEC Exemptive Order</i>	Nasdaq General 7 Consolidated Audit Trail Compliance	SR-NASDAQ-2020-099 SR-NASDAQ-2020-046 SR-NASDAQ-2020-035
Options 4 Options Listing Rules	ISE Options 4 Options Listing Rules	SR-ISE-2020-38 SR-ISE-2019-16 SR-ISE-2018-93 SR-ISE-2018-13 SR-ISE-2018-06 SR-ISE-2017-79 SR-ISE-2017-51 SR-ISE-2017-25 SR-ISE-2016-18
Options 5 Order Protections and Locked and Crossed Markets	ISE Options 5 Order Protections and Locked and Crossed Markets	SR-ISE-2019-32 SR-ISE-2019-23 SR-ISE-2019-17 SR-ISE-2018-96 SR-ISE-2017-83 SR-ISE-2017-32 SR-ISE-2017-25 SR-ISE-2016-31 SR-ISE-2016-27
Options 6A Closing Transactions	ISE Options 6A Closing Transactions	SR-ISE-2020-22 SR-ISE-2019-17 SR-ISE-2018-59
Options 6B Exercises and Deliveries	ISE Options 6B Exercises and Deliveries	SR-ISE-2019-17
Options 6C Margins	ISE Options 6C Margins	SR-ISE-2020-11 SR-ISE-2019-17 SR-ISE-2017-25
Options 6D Net Capital Requirements	ISE Options 6D Net Capital Requirements	SR-ISE-2019-17

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Options 6E Records, Reports and Audits	ISE Options 6E Records, Reports and Audits	SR-ISE-2020-22 SR-ISE-2019-17 SR-ISE-2018-59
Options 9 Business Conduct	ISE Options 9 Business Conduct	SR-ISE-2020-23 SR-ISE-2020-22 SR-ISE-2020-11 SR-ISE-2020-08 SR-ISE-2018-59 SR-ISE-2018-53 SR-ISE-2018-39 SR-ISE-2017-72 SR-ISE-2017-32 SR-ISE-2017-25 SR-ISE-2017-20 SR-ISE-2016-21 SR-ISE-2016-16
Options 10 Doing Business with the Public	ISE Options 10 Doing Business with the Public	SR-ISE-2020-28 SR-ISE-2020-21 SR-ISE-2020-14 SR-ISE-2019-17 SR-ISE-2018-82 SR-ISE-2017-32 SR-ISE-2017-25
Options 11 Minor Rule Violations	ISE Options 11 Minor Rule Violations	SR-ISE-2018-96 SR-ISE-2017-86 SR-ISE-2017-32 SR-ISE-2016-29