PROPOSALS TO CHANGE RULES FROM OTHER EXCHANGES THAT ARE INCORPORATED BY REFERENCE IN THE NASDAQTX RULES

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
Equity 9, Section 15 Suitability SEC Exemptive Order	FINRA **2360(b)(19)** Suitability	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060
Equity 9, Section 16 Discretionary Accounts SEC Exemptive Order	FINRA **2360(b)(18)** Discretionary Accounts	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060
Equity 9, Section 17 Supervision of Accounts SEC Exemptive Order	FINRA **2360(b)(20)** Supervision of Accounts	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060
Equity 9, Section 18 Customer Complaints SEC Exemptive Order	FINRA **2360(b)(17)(A)** Maintenance of Records	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060
Equity 9, Section 19 Communications with the Public and Customers Concerning Index Warrants, Currency Index Warrants, and Currency Warrants SEC Exemptive Order	FINRA **2220** Options Communications *(except for FINRA Rule 2220(c))*	SR-FINRA-2013-001
Equity 9, Section 20 Maintenance of Records SEC Exemptive Order	FINRA **2360(b)(17)(B)** Maintenance of Records	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060
Equity 10, Section 2 Investment Company Securities SEC Exemptive Order	FINRA **2341** Investment Company Securities *(except for the reference to FINRA Rule 2320 in FINRA Rule 2341)*	SR-FINRA-2025-003 SR-FINRA-2020-007 SR-FINRA-2016-047 SR-FINRA-2016-019
Equity 11, Rule 11860 Acceptance and Settlement of COD Orders SEC Exemptive Order	FINRA **11860** COD Orders	SR-FINRA-2016-047
Equity 11, Rule 11870 Customer Account Transfer Contracts SEC Exemptive Order	FINRA **11870** Customer Account Transfer Contracts	SR-FINRA-2010-060

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 3 Membership and Access SEC Exemptive Order	NASDAQ **General 3** Membership and Access	SR-NASDAQ-2024-085 SR-NASDAQ-2024-031 SR-NASDAQ-2023-022 A-3 SR-NASDAQ-2023-022 A-2 SR-NASDAQ-2023-022 A-1 SR-NASDAQ-2023-022 SR-NASDAQ-2022-059 SR-NASDAQ-2022-058 SR-NASDAQ-2022-044 SR-NASDAQ-2022-028 SR-NASDAQ-2022-022 SR-NASDAQ-2021-093 SR-NASDAQ-2021-033 SR-NASDAQ-2020-092 SR-NASDAQ-2020-076 SR-NASDAQ-2019-022
General 4 Registration Requirements SEC Exemptive Order	NASDAQ **General 4 Section 1** Registration Requirements	SR-NASDAQ-2026-060 SR-NASDAQ-2023-022 A-3 SR-NASDAQ-2023-022 A-2 SR-NASDAQ-2023-022 A-1 SR-NASDAQ-2023-022 SR-NASDAQ-2021-026
General 5 Discipline SEC Exemptive Order	NASDAQ **General 5** Discipline	SR-NASDAQ-2026-072 SR-NASDAQ-2024-085 SR-NASDAQ-2024-083 SR-NASDAQ-2022-059 SR-NASDAQ-2022-044 SR-NASDAQ-2022-028 SR-NASDAQ-2021-033 SR-NASDAQ-2020-092 SR-NASDAQ-2020-076
General 6 Arbitration SEC Exemptive Order	NASDAQ **General 6** Arbitration	SR-NASDAQ-2018-067
General 7 Consolidated Audit Trail Compliance SEC Exemptive Order	NASDAQ **General 7** Consolidated Audit Trail Compliance	SR-NASDAQ-2025-076 SR-NASDAQ-2020-035
General 9, Section 1(b) Prohibition Against Trading Ahead of Customer Orders SEC Exemptive Order	FINRA **5320** Prohibition Against Trading Ahead of Customer Orders *(except for FINRA Rule 5320.02(b) and the reference to FINRA Rule 6420 in FINRA Rule 5320)*	SR-FINRA-2025-015 SR-FINRA-2024-016 SR-FINRA-2019-009 SR-FINRA-2011-065
General 9, Section 1(c) Front Running Policy SEC Exemptive Order	FINRA **5270** Front Running of Block Transactions	SR-FINRA-2013-021 SR-FINRA-2012-025
General 9, Section 1(f) Confirmation of Callable Common Stock SEC Exemptive Order	FINRA **2232** Customer Confirmations	SR-FINRA-2016-032

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 9, Section 1(g) Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes SEC Exemptive Order	FINRA **2140** Interfering With the Transfer of Customer Accounts in the Context of Employment Disputes	SR-FINRA-2010-060
General 9 Section 2 Customers' Securities or Funds	FINRA **2150** Improper Use of Customers' Securities or Funds; Prohibition Against Guarantees and Sharing in Accounts	SR-FINRA-2017-004 SR-FINRA-2015-030 SR-FINRA-2010-060
General 9 Section 3 Communications with the Public SEC Exemptive Order	FINRA **2210** Communications with the Public *(except for FINRA Rule 2210(c))*	SR-FINRA-2026-004 SR-FINRA-2023-016 SR-FINRA-2019-009
General 9 Section 5 Telemarketing SEC Exemptive Order	FINRA **3230** Telemarketing	SR-FINRA-2013-001
General 9 Section 6 Forwarding of Proxy and Other Issuer-Related Materials	FINRA **2251** Processing and Forwarding of Proxy and Other Issuer-Related Materials	SR-FINRA-2021-032 SR-FINRA-2013-056 SR-FINRA-2010-002
General 9 Section 7 Disclosure of Financial Condition, Control Relationship with Issuer and Participation or Interest in Primary or Secondary Distribution	FINRA **2261** Disclosure of Financial Condition	SR-FINRA-2009-081
General 9 Section 7 Disclosure of Financial Condition, Control Relationship with Issuer and Participation or Interest in Primary or Secondary Distribution SEC Exemptive Order	FINRA **2262** Disclosure of Control Relationship with Issuer	SR-FINRA-2009-044
General 9 Section 7 Disclosure of Financial Condition, Control Relationship with Issuer and Participation or Interest in Primary or Secondary Distribution SEC Exemptive Order	FINRA **2269** Disclosure of Participation or Interest in Primary or Secondary Distribution	SR-FINRA-2009-044
General 9 Section 8 SIPC Information	FINRA **2266** SIPC Information	SR-FINRA-2009-016
General 9 Section 9 Fairness Opinions	FINRA **5150** Fairness Opinions	SR-FINRA-2008-028
General 9, Section 10(a) Recommendations to Customers (Suitability) SEC Exemptive Order	FINRA **2111** Suitability *(except for the references to FINRA Rule 2214 in FINRA Rule 2111)*	SR-FINRA-2020-007 SR-FINRA-2014-016 SR-FINRA-2013-001 SR-FINRA-2011-016 SR-FINRA-2010-039
General 9, Section 10(c) Know Your Customer SEC Exemptive Order	FINRA **2090** Know Your Customer	SR-FINRA-2011-016 SR-FINRA-2010-039
General 9 Section 12 Customer Account Statements SEC Exemptive Order	FINRA **2231** Customer Account Statements	SR-FINRA-2021-024 SR-FINRA-2019-009

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 9 Section 13 Margin Disclosure Statement	FINRA **2264** Margin Disclosure Statement	SR-FINRA-2011-065
General 9 Section 14 Approval Procedures for Day-Trading Accounts	FINRA **2130** Approval Procedures for Day-Trading Accounts	SR-FINRA-2013-001 SR-FINRA-2011-065 SR-FINRA-2010-060
General 9 Section 14 Approval Procedures for Day-Trading Accounts SEC Exemptive Order	FINRA **2270** Day-Trading Risk Disclosure Statement	SR-FINRA-2013-001 SR-FINRA-2011-065 SR-FINRA-2010-060
General 9 Section 15 Borrowing From or Lending to Customers	FINRA **3240** Borrowing From or Lending to Customers	SR-FINRA-2024-001 SR-FINRA-2009-095
General 9 Section 16 Charges for Services Performed	FINRA **2122** Charges for Services Performed	SR-FINRA-2014-049
General 9 Section 17 Net Transactions with Customers	FINRA **2124** Net Transactions with Customers	SR-FINRA-2011-065
General 9 Section 19 Discretionary Accounts SEC Exemptive Order	FINRA **3260** Discretionary Accounts	SR-FINRA-2019-009
General 9 Section 20 Supervision	FINRA **3110** Supervision	SR-FINRA-2024-015 SR-FINRA-2022-001 SR-FINRA-2021-023 SR-FINRA-2020-040 SR-FINRA-2017-004 SR-FINRA-2015-005 SR-FINRA-2014-038 SR-FINRA-2013-025
General 9 Section 20 Supervision	FINRA **3170** Tape Recording of Registered Persons by Certain Firms	SR-FINRA-2019-009 SR-FINRA-2013-025
General 9 Section 21 Supervisory Control System, Annual Certification of Compliance and Supervisory Processes SEC Exemptive Order	FINRA **3130** Annual Certification of Compliance and Supervisory Processes *(except for the references to MSRB rules in FINRA Rule 3130)*	SR-FINRA-2008-057
General 9 Section 21 Supervisory Control System	FINRA **3120** Supervisory Control System	SR-FINRA-2013-025
General 9 Section 23 Outside Business Activities of an Associated Person	FINRA **3270** Outside Business Activities of Registered Persons	SR-FINRA-2026-001 SR-FINRA-2015-030
General 9 Section 24 Private Securities Transactions of an Associated Person	FINRA **3280** Private Securities Transactions of an Associated Person	SR-FINRA-2026-001 SR-FINRA-2017-004 SR-FINRA-2015-030
General 9 Section 25 Transactions for or by Associated Persons	FINRA **3210** Accounts At Other Broker-Dealers and Financial Institutions	SR-FINRA-2015-029
General 9 Section 26 Influencing or Rewarding Employees of Others	FINRA **3220** Influencing or Rewarding Employees of Others	SR-FINRA-2025-003 SR-FINRA-2008-027

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
General 9 Section 27 Reporting Requirements SEC Exemptive Order	FINRA **4530** Reporting Requirements *(except for FINRA Rule 4530(h))*	SR-FINRA-2020-039 SR-FINRA-2015-011
General 9 Section 28 Disclosure to Associated Persons When Signing Form U4 SEC Exemptive Order	FINRA **2263** Arbitration Disclosure to Associated Persons Signing or Acknowledging Form U4 *(except for subsection (2) of FINRA Rule 2263)*	SR-FINRA-2022-012 SR-FINRA-2021-003
General 9 Section 30 Books and Records SEC Exemptive Order	FINRA **4511** General Requirements	SR-FINRA-2010-052
General 9 Section 31 Use of Information Obtained in Fiduciary Capacity	FINRA **2060** Use of Information Obtained in Fiduciary Capacity	SR-FINRA-2009-067
General 9 Section 33 Reporting Requirements for Clearing Firms SEC Exemptive Order	FINRA **4540** Reporting Requirements for Clearing Firms	SR-FINRA-2019-009
General 9 Section 34 Extensions of Time Under Regulation T and SEC Rule 15c3-3	FINRA **4230** Required Submissions for Requests for Extensions of Time Under Regulation T and SEA Rule 15c3-3	SR-FINRA-2010-024
General 9 Section 37 Anti-Money Laundering Compliance Program	FINRA **3310** Anti-Money Laundering Compliance Program	SR-FINRA-2018-016 SR-FINRA-2015-004
General 9, Section 38(b) Margin Requirements SEC Exemptive Order	FINRA **4210** Margin Requirements	SR-FINRA-2025-017 SR-FINRA-2023-011 SR-FINRA-2023-010 SR-FINRA-2023-002 SR-FINRA-2017-029 SR-FINRA-2015-036 SR-FINRA-2013-001 SR-FINRA-2010-024
General 9, Section 39(b) Fidelity Bonds SEC Exemptive Order	FINRA **4360** Fidelity Bonds	SR-FINRA-2010-059
General 9 Section 40 Capital Compliance	FINRA **4110** Capital Compliance	SR-FINRA-2010-002 SR-FINRA-2008-067
General 9 Section 41 Regulatory Notification and Business Curtailment	FINRA **4120** Regulatory Notification and Business Curtailment	SR-FINRA-2010-024 SR-FINRA-2008-067
General 9 Section 42 Audit	FINRA **4140** Audit	SR-FINRA-2008-067
General 9 Section 48 Notifications, Questionnaires and Reports SEC Exemptive Order	FINRA **4521** Notifications, Questionnaires and Reports	SR-FINRA-2010-004 SR-FINRA-2008-067
General 9 Section 64 Account Approval SEC Exemptive Order	FINRA **2360(b)(16)** Opening of Accounts	SR-FINRA-2019-009 SR-FINRA-2014-051 SR-FINRA-2014-027 SR-FINRA-2011-065 SR-FINRA-2010-060

NasdaqTX Rule	RULE INCORPORATED BY REFERENCE	RULE FILINGS
Options 4 Options Listing Rules SEC Exemptive Order	ISE **Options 4** Options Listing Rules	SR-ISE-2026-42 SR-ISE-2026-34 SR-ISE-2026-31 SR-ISE-2026-19 SR-ISE-2024-21 SR-ISE-2024-17 SR-ISE-2024-06 SR-ISE-2023-32 SR-ISE-2023-30 SR-ISE-2023-11 SR-ISE-2022-18 SR-ISE-2022-10 SR-ISE-2021-20 SR-ISE-2021-14 SR-ISE-2021-09 SR-ISE-2021-07 SR-ISE-2019-17 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 4A Section 7 Position Limits for Industry and Micro-Narrow Based Index Options	Phlx **Options 4A Section 6** Position Limits	SR-Phlx-2026-52 SR-Phlx-2023-54 SR-Phlx-2023-41 SR-Phlx-2023-27 SR-Phlx-2023-09 SR-Phlx-2022-13 SR-Phlx-2020-41
Options 4A Section 10 Exercise Limits SEC Exemptive Order	Phlx **Options 4A Section 10** Exercise Limits	SR-Phlx-2022-48
Options 9, Section 13 Position Limits	Phlx **Options 9 Section 13** Position Limits	SR-Phlx-2026-29 SR-Phlx-2026-19 SR-Phlx-2022-50 SR-Phlx-2020-03
Options 9, Section 15 Exercise Limits SEC Exemptive Order	Phlx **Options 9 Section 15** Exercise Limits	SR-Phlx-2020-03