

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

<b>GEMX RULE</b>	<b>RULE INCORPORATED BY REFERENCE</b>	<b>RULE FILINGS</b>
<b>General 3</b> Membership and Access  <i><a href="#">SEC Exemptive Order</a></i>	<b>Nasdaq General 3</b> Membership and Access	<a href="#">SR-NASDAQ-2020-079</a> <a href="#">SR-NASDAQ-2020-076</a> <a href="#">SR-NASDAQ-2019-022</a>
<b>General 4</b> Registration Requirements  <i><a href="#">SEC Exemptive Order</a></i>	<b>Nasdaq General 4 Section 1</b> Registration Requirements	<a href="#">SR-NASDAQ-2020-091</a> <a href="#">SR-NASDAQ-2020-073</a> <a href="#">SR-NASDAQ-2020-042</a>
<b>General 5</b> Discipline  <i><a href="#">SEC Exemptive Order</a></i>	<b>Nasdaq General 5</b> Discipline	<a href="#">SR-NASDAQ-2020-076</a>
<b>General 6</b> Arbitration  <i><a href="#">SEC Exemptive Order</a></i>	<b>Nasdaq General 6</b> Arbitration	<a href="#">SR-NASDAQ-2018-067</a>
<b>General 7</b> Consolidated Audit Trail Compliance  <i><a href="#">SEC Exemptive Order</a></i>	<b>Nasdaq General 7</b> Consolidated Audit Trail Compliance	<a href="#">SR-NASDAQ-2020-099</a> <a href="#">SR-NASDAQ-2020-046</a> <a href="#">SR-NASDAQ-2020-035</a>
<b>Options 4</b> Options Listing Rules	<b>ISE Options 4</b> Options Listing Rules	<a href="#">SR-ISE-2020-38</a> <a href="#">SR-ISE-2019-16</a> <a href="#">SR-ISE-2018-93</a> <a href="#">SR-ISE-2018-13</a> <a href="#">SR-ISE-2018-06</a> <a href="#">SR-ISE-2017-79</a> <a href="#">SR-ISE-2017-51</a> <a href="#">SR-ISE-2017-25</a> <a href="#">SR-ISE-2016-18</a>
<b>Options 5</b> Order Protections and Locked and Crossed Markets	<b>ISE Options 5</b> Order Protections and Locked and Crossed Markets	<a href="#">SR-ISE-2019-32</a> <a href="#">SR-ISE-2019-23</a> <a href="#">SR-ISE-2019-17</a> <a href="#">SR-ISE-2018-96</a> <a href="#">SR-ISE-2017-83</a> <a href="#">SR-ISE-2017-32</a> <a href="#">SR-ISE-2017-25</a> <a href="#">SR-ISE-2016-31</a> <a href="#">SR-ISE-2016-27</a>
<b>Options 6A</b> Closing Transactions	<b>ISE Options 6A</b> Closing Transactions	<a href="#">SR-ISE-2020-22</a> <a href="#">SR-ISE-2019-17</a> <a href="#">SR-ISE-2018-59</a>

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

<b>GEMX RULE</b>	<b>RULE INCORPORATED BY REFERENCE</b>	<b>RULE FILINGS</b>
<b>Options 6B</b> Exercises and Deliveries	<b>ISE Options 6B</b> Exercises and Deliveries	<a href="#">SR-ISE-2019-17</a>
<b>Options 6C</b> Margins	<b>ISE Options 6C</b> Margins	<a href="#">SR-ISE-2020-11</a> <a href="#">SR-ISE-2019-17</a> <a href="#">SR-ISE-2017-25</a>
<b>Options 6D</b> Net Capital Requirements	<b>ISE Options 6D</b> Net Capital Requirements	<a href="#">SR-ISE-2019-17</a>
<b>Options 6E</b> Records, Reports and Audits	<b>ISE Options 6E</b> Records, Reports and Audits	<a href="#">SR-ISE-2020-22</a> <a href="#">SR-ISE-2019-17</a> <a href="#">SR-ISE-2018-59</a>
<b>Options 9</b> Business Conduct	<b>ISE Options 9</b> Business Conduct	<a href="#">SR-ISE-2020-23</a> <a href="#">SR-ISE-2020-22</a> <a href="#">SR-ISE-2020-11</a> <a href="#">SR-ISE-2020-08</a> <a href="#">SR-ISE-2018-59</a> <a href="#">SR-ISE-2018-53</a> <a href="#">SR-ISE-2018-39</a> <a href="#">SR-ISE-2017-72</a> <a href="#">SR-ISE-2017-32</a> <a href="#">SR-ISE-2017-25</a> <a href="#">SR-ISE-2017-20</a> <a href="#">SR-ISE-2016-21</a> <a href="#">SR-ISE-2016-16</a>
<b>Options 10</b> Doing Business with the Public	<b>ISE Options 10</b> Doing Business with the Public	<a href="#">SR-ISE-2020-28</a> <a href="#">SR-ISE-2020-21</a> <a href="#">SR-ISE-2020-14</a> <a href="#">SR-ISE-2019-17</a> <a href="#">SR-ISE-2018-82</a> <a href="#">SR-ISE-2017-32</a> <a href="#">SR-ISE-2017-25</a>
<b>Options 11</b> Minor Rule Violations	<b>ISE Options 11</b> Minor Rule Violations	<a href="#">SR-ISE-2018-96</a> <a href="#">SR-ISE-2017-86</a> <a href="#">SR-ISE-2017-32</a> <a href="#">SR-ISE-2016-29</a>