Required fields are shown with yellow backgrounds and asterisks.

OMB Number: 3235-0045
Estimated average burden hours per response...........38

Page 1 of *	16		EXCHANGE COM STON, D.C. 20549 orm 19b-4	9	File No.* S	SR - 2017 - * 83 mendments *)
Filing by NASDAQ PHLX LLC						
Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934						
Initial *	Amendment *	Withdrawal	Section 19(b)(2)	* Section	on 19(b)(3)(A) *	Section 19(b)(3)(B) *
1 1101	extension of Time Period or Commission Action *	Date Expires *		19b-4(f 19b-4(f 19b-4(f	19b-4(f)(5)	
Notice of p	proposed change pursuant	to the Payment, Clear Section 806(e)(2) *	ing, and Settlement	Act of 2010	Security-Based Swap to the Securities Exch Section 3C(b)(2)	-
Exhibit 2 Sent As Paper Document Exhibit 3 Sent As Paper Document						
Provide a brief description of the action (limit 250 characters, required when Initial is checked *). Proposal to amend Exchange rules as well as certain of its corporate documents to reflect legal name changes. Contact Information						
Provide the name, telephone number, and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the action.						
First Nam	e * Angela		Last Name * Dur	ın		
Title *	Title * Principal Associate General Counsel					
E-mail *	E-mail * Angela.Dunn@nasdaq.com					
Telephone	e * (215) 496-5692	Fax				
Signature Pursuant to the requirements of the Securities Exchange Act of 1934, has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.						
(Title *) Date 10/19/2017 Executive Vice President and General Counsel						
	/19/2017		Executive vice Pr	esident and Ge	eneral Counsel	
By Ed	lward S. Knight					
(Name *) NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.						

SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 For complete Form 19b-4 instructions please refer to the EFFS website. The self-regulatory organization must provide all required information, presented in a Form 19b-4 Information * clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal Remove is consistent with the Act and applicable rules and regulations under the Act. The Notice section of this Form 19b-4 must comply with the guidelines for publication Exhibit 1 - Notice of Proposed Rule Change * in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Add Remove View Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO] -xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3) The Notice section of this Form 19b-4 must comply with the guidelines for publication **Exhibit 1A- Notice of Proposed Rule** in the Federal Register as well as any requirements for electronic filing as published Change, Security-Based Swap Submission, by the Commission (if applicable). The Office of the Federal Register (OFR) offers or Advance Notice by Clearing Agencies * guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO] -xx-xx). A material failure to comply with these guidelines will result in the proposed rule change, security-based swap submission, or advance notice being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3) Exhibit 2 - Notices, Written Comments, Copies of notices, written comments, transcripts, other communications. If such Transcripts, Other Communications documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G. Remove View Add Exhibit Sent As Paper Document П Exhibit 3 - Form, Report, or Questionnaire Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is Add Remove View referred to by the proposed rule change. Exhibit Sent As Paper Document The full text shall be marked, in any convenient manner, to indicate additions to and **Exhibit 4 - Marked Copies** deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit Add Remove View the staff to identify immediately the changes made from the text of the rule with which it has been working. **Exhibit 5 - Proposed Rule Text** The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part Add Remove View of the proposed rule change. If the self-regulatory organization is amending only part of the text of a lengthy **Partial Amendment** proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial

amendment shall be clearly identified and marked to show deletions and additions.

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1. <u>Text of the Proposed Rule Change</u>

(a) NASDAQ PHLX LLC ("Phlx" or "Exchange"), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act")¹ and Rule 19b-4 thereunder,² is filing with the Securities and Exchange Commission ("SEC" or "Commission") a proposal to amend its rules as well as certain corporate documents of the Exchange to reflect legal name changes.

A notice of the proposed rule change for publication in the <u>Federal Register</u> is at <u>Exhibit 1</u> and the text of the amended Exchange Rule is at <u>Exhibit 5</u>.

- (b) Not applicable.
- (c) Not applicable.

2. <u>Procedures of the Self-Regulatory Organization</u>

The proposed rule change was approved by the Board of Directors of the Exchange on April 12, 2017. The amendment to the Amended Certificate of Formation and Second Amended Limited Liability Company Agreement were approved by the shareholder on September 14, 2017. No other action is necessary for the filing of the rule change. The proposed amendments will be filed with the State of Delaware.

Questions and comments on the proposed rule change may be directed to:

Angela Saccomandi Dunn Principle Associate General Counsel Nasdaq, Inc. 215-496-5692

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

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3. <u>Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis</u> for, the Proposed Rule Change

a. <u>Purpose</u>

The purpose of this filing is to reflect in the Exchange's governing documents (and the governing documents of its parent company)³ and the Exchange's Rulebook a non-substantive corporate branding change to the Exchange's name.⁴ Specifically, current references will be changed as follows:

- References to "NASDAQ" will be changed to "Nasdaq"
- References to "NASDAQ PHLX LLC" or "NASDAQ PHLX" will be changed to "Nasdaq PHLX LLC" or "Nasdaq PHLX"
- References to "NASDAQ OMX PSX" or "NASDAQ PSX" will be changed to "Nasdaq PSX"
- References to "The NASDAQ OMX Group, Inc." or "NASDAQ OMX Group, Inc." will be changed to "Nasdaq, Inc." 5
- In addition to the preceding changes, all references to "OMX" will be removed from the Rulebook.⁶

The Exchange proposes to amend: (i) the Amended Certificate of Formation; (ii) Second Amended Limited Liability Company Agreement; (iii) By-Laws; (iv) Rulebook; and (v) Pricing Schedule.

The NASDAQ Stock Market LLC and NASDAQ BX, Inc. will also be filing similar rule changes.

See Securities Exchange Act Release No. 75421 (July 10, 2015), 80 FR 42136 (July 16, 2015) (SR-BSECC-2015-001, SR-BX-2015-030, SR-NASDAQ-2015-058, SR-Phlx-2015-46, SR-SCCP-2015-01).

⁶ Id.

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• References to "The NASDAQ Stock Market LLC" or "NASDAQ Stock Market LLC" will be changed to "The Nasdaq Stock Market LLC"

- •References to "NASDAQ BX, Inc." or "NASDAQ BX" will be changed to "Nasdaq BX, Inc." or "Nasdaq BX"
- In all instances where the word "the" should have been capitalized, (e.g., Rule 1080(n)(ii)(J)(1)), the Exchange will make the appropriate correction.

This name change proposal is a non-substantive change. No changes to the ownership or structure of the Exchange have taken place. No other changes are being proposed in this filing. The Exchange represents that these changes are concerned solely with the administration of the Exchange and do not affect the meaning, administration, or enforcement of any rules of the Exchange or the rights, obligations, or privileges of Exchange members or their associated persons in any way. Accordingly, this filing is being submitted under Rule 19b-4(f)(3). In lieu of providing a copy of the marked changes, the Exchange represents that it will make the necessary non-substantive revisions to the Amended Certificate of Formation, Second Amended Limited Liability Company Agreement, By-Laws, Rulebook, and Pricing Schedule and post updated versions of each on the Exchange's website pursuant to Rule 19b-4(m)(2).

The Exchange notes that the following references are not being amended in the Exchange's governing documents and the Exchange's Rulebook:

- Any name with a trademark (TM) or service mark (SM) attached to the name.
- Any references in the Amended Certificate of Formation or Second Amended Limited Liability Company Agreement which references a prior name of the Exchange and reflects a historical date wherein that name was in effect.

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(b) Statutory Basis

The Exchange believes that its proposal is consistent with Section 6(b) of the Act, 7 in general, and furthers the objectives of Section 6(b)(5) of the Act, 8 in particular, in that it is designed to promote just and equitable principles of trade, to remove impediments to and perfect the mechanism of a free and open market and a national market system, and, in general to protect investors and the public interest by avoiding confusion with the name. The Exchange proposes to conform its name to that of its parent, Nasdaq Inc., by changing the capitalization in the word "NASDAQ" to "Nasdaq." The Exchange also proposes to amend the names of affiliated markets in a similar manner, by changing the name "NASDAQ" to "Nasdaq." The name change of the Exchange as well as other name changes to related entities are non-substantive changes. No changes to the ownership or structure of the Exchange have taken place.

- 4. <u>Self-Regulatory Organization's Statement on Burden on Competition</u>

 The Exchange does not believe that the proposed rule change will impose any burden on competition not necessary or appropriate in furtherance of the purposes of the Act. The name change will align with the parent company, Nasdaq, Inc.
- Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others
 No written comments were either solicited or received.
- Extension of Time Period for Commission Action
 The Exchange does not consent to an extension of the time period for

Commission action.

⁷ 15 U.S.C. 78f(b).

^{8 15} U.S.C. 78f(b)(5).

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7. <u>Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)</u>

The proposed rule change is effective upon filing pursuant to Section 19(b)(3)(A) of the Act⁹ and Rule 19b-4(f)(3) thereunder, ¹⁰ in that the proposed rule is concerned solely with the administration of the self-regulatory organization.

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is: (i) necessary or appropriate in the public interest; (ii) for the protection of investors; or (iii) otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

8. <u>Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission</u>

Not applicable.

- Security-Based Swap Submissions Filed Pursuant to Section 3C of the Act
 Not applicable.
- 10. Advance Notices Filed Pursuant to Section 806(e) of the Payment, Clearing and Settlement Supervision Act

Not applicable.

11. Exhibits

- 1. Notice of proposed rule for publication in the <u>Federal Register</u>.
- 5. Text of the proposed rule change.

⁹ 15 U.S.C. 78s(b)(3)(A).

¹⁰ 17 CFR 240.19b-4(f)(3).

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EXHIBIT 1

SECURITIES AND EXCHANGE COMMISSION (Release No. ; File No. SR-Phlx-2017-83)

October ___, 2017

Self-Regulatory Organizations; NASDAQ PHLX LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change Relating to the Exchange's Name Change

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 ("Act")¹, and Rule 19b-4 thereunder,² notice is hereby given that on October 19, 2017, NASDAQ PHLX LLC ("Phlx" or "Exchange") filed with the Securities and Exchange Commission ("SEC" or "Commission") the proposed rule change as described in Items I, II, and III, below, which Items have been prepared by the Exchange. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. <u>Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change</u>

The Exchange proposes to amend its rules as well as certain corporate documents of the Exchange to reflect legal name changes.

The text of the proposed rule change is available on the Exchange's Website at http://nasdaqphlx.cchwallstreet.com/, at the principal office of the Exchange, and at the Commission's Public Reference Room.

II. <u>Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis</u> for, the Proposed Rule Change

In its filing with the Commission, the Exchange included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

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received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. <u>Self-Regulatory Organization's Statement of the Purpose of, and Statutory</u> <u>Basis for, the Proposed Rule Change</u>

1. <u>Purpose</u>

The purpose of this filing is to reflect in the Exchange's governing documents (and the governing documents of its parent company)³ and the Exchange's Rulebook a non-substantive corporate branding change to the Exchange's name.⁴ Specifically, current references will be changed as follows:

- References to "NASDAQ" will be changed to "Nasdaq"
- References to "NASDAQ PHLX LLC" or "NASDAQ PHLX" will be changed to "Nasdaq PHLX LLC" or "Nasdaq PHLX"
- References to "NASDAQ OMX PSX" or "NASDAQ PSX" will be changed to "Nasdaq PSX"
- References to "The NASDAQ OMX Group, Inc." or "NASDAQ OMX Group, Inc." will be changed to "Nasdaq, Inc." 5

The Exchange proposes to amend: (i) the Amended Certificate of Formation; (ii) Second Amended Limited Liability Company Agreement; (iii) By-Laws; (iv) Rulebook; and (v) Pricing Schedule.

The NASDAQ Stock Market LLC and NASDAQ BX, Inc. will also be filing similar rule changes.

See Securities Exchange Act Release No. 75421 (July 10, 2015), 80 FR 42136 (July 16, 2015) (SR-BSECC-2015-001, SR-BX-2015-030, SR-NASDAQ-2015-058, SR-Phlx-2015-46, SR-SCCP-2015-01).

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• In addition to the preceding changes, all references to "OMX" will be removed from the Rulebook.⁶

- References to "The NASDAQ Stock Market LLC" or "NASDAQ Stock Market LLC" will be changed to "The Nasdaq Stock Market LLC"
- •References to "NASDAQ BX, Inc." or "NASDAQ BX" will be changed to "Nasdaq BX, Inc." or "Nasdaq BX"
- In all instances where the word "the" should have been capitalized, (e.g., Rule 1080(n)(ii)(J)(1)), the Exchange will make the appropriate correction.

This name change proposal is a non-substantive change. No changes to the ownership or structure of the Exchange have taken place. No other changes are being proposed in this filing. The Exchange represents that these changes are concerned solely with the administration of the Exchange and do not affect the meaning, administration, or enforcement of any rules of the Exchange or the rights, obligations, or privileges of Exchange members or their associated persons in any way. Accordingly, this filing is being submitted under Rule 19b-4(f)(3). In lieu of providing a copy of the marked changes, the Exchange represents that it will make the necessary non-substantive revisions to the Amended Certificate of Formation, Second Amended Limited Liability Company Agreement, By-Laws, Rulebook, and Pricing Schedule and post updated versions of each on the Exchange's website pursuant to Rule 19b-4(m)(2).

The Exchange notes that the following references are not being amended in the Exchange's governing documents and the Exchange's Rulebook:

• Any name with a trademark (TM) or service mark (SM) attached to the name.

<u>Id.</u>

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Any references in the Amended Certificate of Formation or Second Amended
 Limited Liability Company Agreement which references a prior name of the Exchange
 and reflects a historical date wherein that name was in effect.

2. Statutory Basis

The Exchange believes that its proposal is consistent with Section 6(b) of the Act, 7 in general, and furthers the objectives of Section 6(b)(5) of the Act, 8 in particular, in that it is designed to promote just and equitable principles of trade, to remove impediments to and perfect the mechanism of a free and open market and a national market system, and, in general to protect investors and the public interest by avoiding confusion with the name. The Exchange proposes to conform its name to that of its parent, Nasdaq Inc., by changing the capitalization in the word "NASDAQ" to "Nasdaq." The Exchange also proposes to amend the names of affiliated markets in a similar manner, by changing the name "NASDAQ" to "Nasdaq." The name change of the Exchange as well as other name changes to related entities are non-substantive changes. No changes to the ownership or structure of the Exchange have taken place.

- B. <u>Self-Regulatory Organization's Statement on Burden on Competition</u>

 The Exchange does not believe that the proposed rule change will impose any burden on competition not necessary or appropriate in furtherance of the purposes of the Act. The name change will align with the parent company, Nasdaq, Inc.
 - C. <u>Self-Regulatory Organization's Statement on Comments on the Proposed</u> <u>Rule Change Received from Members, Participants, or Others</u>

No written comments were either solicited or received.

⁷ 15 U.S.C. 78f(b).

⁸ 15 U.S.C. 78f(b)(5).

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III. <u>Date of Effectiveness of the Proposed Rule Change and Timing for Commission</u> Action

Pursuant to Section 19(b)(3)(A) of the Act⁹ and Rule 19b-4(f)(3) thereunder, ¹⁰ the Exchange has designated this proposal as one that is concerned solely with the administration of the self-regulatory organization, and therefore has become effective.

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic comments:

- Use the Commission's Internet comment form (http://www.sec.gov/rules/sro.shtml); or
- Send an e-mail to <u>rule-comments@sec.gov.</u> Please include File Number SR-Phlx-2017-83 on the subject line.

⁹ 15 U.S.C. 78s(b)(3)(A).

¹⁰ 17 CFR 240.19b-4(f)(3).

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Paper comments:

Send paper comments in triplicate to Secretary, Securities and Exchange
 Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to File Number SR-Phlx-2017-83. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site (http://www.sec.gov/rules/sro.shtml).

Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Room, 100 F Street, NE, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of the filing also will be available for inspection and copying at the principal office of the Exchange. All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly.

All submissions should refer to File Number SR-Phlx-2017-83 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

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For the Commission, by the Division of Trading and Markets, pursuant to delegated authority. 11

Eduardo A. Aleman Assistant Secretary

¹¹ 17 CFR 200.30-3(a)(12).

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EXHIBIT 5

The Amended Certificate of Formation, Second Amended Limited Liability Company Agreement, By-Laws; Rule Book and Pricing Schedule will be amended, as applicable, in the following manner:

- References to "NASDAQ" will be changed to "Nasdaq"
- References to "NASDAQ PHLX LLC" or "NASDAQ PHLX" will be changed to "Nasdaq PHLX LLC" or "Nasdaq PHLX"
- References to "NASDAQ OMX PSX" or "NASDAQ PSX" will be changed to "Nasdaq PSX"
- References to "The NASDAQ OMX Group, Inc." or "NASDAQ OMX Group, Inc." will be changed to "Nasdaq, Inc." 1
- In addition to the preceding changes, all references to "OMX" will be removed from the Rulebook.²
- References to "The NASDAQ Stock Market LLC" or "NASDAQ Stock Market LLC" will be changed to "The Nasdaq Stock Market LLC"
- •References to "NASDAQ BX, Inc." or "NASDAQ BX" will be changed to "Nasdaq BX, Inc." or "Nasdaq BX"
- In all instances where the word "the" should have been capitalized, (e.g., Rule 1080(n)(ii)(J)(1)), the Exchange will make the appropriate correction.

See Securities Exchange Act Release No. 75421 (July 10, 2015), 80 FR 42136 (July 16, 2015) (SR-BSECC-2015-001, SR-BX-2015-030, SR-NASDAQ-2015-058, SR-Phlx-2015-46, SR-SCCP-2015-01).

² Id.

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This name change proposal is a non-substantive change. No changes to the ownership or structure of the Exchange have taken place. No other changes are being proposed in this filing. The Exchange represents that these changes are concerned solely with the administration of the Exchange and do not affect the meaning, administration, or enforcement of any rules of the Exchange or the rights, obligations, or privileges of Exchange members or their associated persons in any way. Accordingly, this filing is being submitted under Rule 19b-4(f)(3). In lieu of providing a copy of the marked changes, the Exchange represents that it will make the necessary non-substantive revisions to the Amended Certificate of Formation, Second Amended Limited Liability Company Agreement, By-Laws, Rulebook, and Pricing Schedule and post updated versions of each on the Exchange's website pursuant to Rule 19b-4(m)(2).

The Exchange notes that the following references are not being amended in the Exchange's governing documents and the Exchange's Rulebook:

- Any name with a trademark (TM) or service mark (SM) attached to the name.
- Any references in the Amended Certificate of Formation or Second Amended
 Limited Liability Company Agreement which references a prior name of the Exchange
 and reflects a historical date wherein that name was in effect.