

**PROPOSALS TO CHANGE NASDAQ/ISE/FINRA/CBOE/NYSE RULES THAT ARE
INCORPORATED BY REFERENCE IN THE PHLX RULES**

PHLX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
<p>General 3 Membership and Access</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 3 Membership and Access</p>	<p>SR-NASDAQ-2020-079</p>
<p>General 4 Registration Requirements</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 4 Section 1 Registration Requirements</p>	<p>SR-NASDAQ-2020-091 SR-NASDAQ-2020-079 SR-NASDAQ-2020-073 SR-NASDAQ-2020-042</p>
<p>General 5 Discipline</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 5 Discipline</p>	<p>SR-NASDAQ-2021-104 SR-NASDAQ-2021-067 SR-NASDAQ-2021-033 SR-NASDAQ-2020-079 SR-NASDAQ-2020-076 SR-NASDAQ-2020-042 SR-NASDAQ-2020-022</p>
<p>General 6 Arbitration</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 6 Arbitration</p>	<p>SR-NASDAQ-2018-067</p>
<p>General 7 Consolidated Audit Trail Compliance</p> <p><i>SEC Exemptive Order</i></p>	<p>Nasdaq General 7 Consolidated Audit Trail Compliance</p>	<p>SR-NASDAQ-2020-099 SR-NASDAQ-2020-046 SR-NASDAQ-2020-035</p>
<p>General 9, Section 1(a) Prohibition Against Trading Ahead of Customer Orders</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 5320 Prohibition Against Trading Ahead of Customer Orders (<i>except for FINRA Rule 5320.02(b) and the reference to FINRA Rule 6420 in FINRA Rule 5320</i>)</p>	<p>SR-FINRA-2021-017</p>
<p>General 9, Section 19 Discretionary Accounts</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 3260 Discretionary Accounts</p>	<p>SR-FINRA-2019-009</p>
<p>General 9, Section 30 Books and Records</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 4511 General Requirements</p>	<p>SR-FINRA-2010-052</p>

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PHLX RULE	RULE INCORPORATED BY REFERENCE	RULE FILINGS
<p>General 9, Section 45 Customer Account Information</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA Rule 4512 Customer Account Information</p>	<p>SR-FINRA-2019-009</p>
<p>Options 4 Options Listing Rules</p> <p><i>SEC Exemptive Order</i></p>	<p>ISE Options 4 Options Listing Rules</p>	<p>SR-ISE-2021-20 SR-ISE-2021-14 SR-ISE-2021-09 SR-ISE-2021-07 SR-ISE-2020-38 SR-ISE-2020-11 SR-ISE-2019-17</p>
<p>Options 6C Section 3 Proper and Adequate Margin</p> <p><i>SEC Exemptive Order</i></p>	<p>CBOE 10.3 Margin Requirements</p>	<p>SR-CBOE-2021-006 SR-CBOE-2020-090 SR-CBOE-2020-068 SR-CBOE-2019-069</p>
	<p>NYSE 431 Margin Requirements</p>	<p>SR-NYSE-2008-127</p>
<p>Options 10, Section 20 Options Communications</p> <p><i>SEC Exemptive Order</i></p>	<p>FINRA 2220 Communications with Public Customers (<i>except for FINRA Rule 2220(c)</i>).</p>	<p>SR-FINRA-2014-045</p>