

## AMENDMENT NO. 37

### JOINT SELF-REGULATORY ORGANIZATION PLAN GOVERNING THE COLLECTION, CONSOLIDATION AND DISSEMINATION OF QUOTATION AND TRANSACTION INFORMATION FOR NASDAQ-LISTED SECURITIES TRADED ON EXCHANGES ON AN UNLISTED TRADING PRIVILEGE BASIS

#### Admission of IEX into UTP Plan

AGREEMENT made as of the 10<sup>th</sup> day of August, 2016, among BATS Exchange, Inc., BATS Y-Exchange, Inc., Chicago Stock Exchange, EDGA Exchange, Inc., EDGX Exchange, Inc., Financial Industry Regulatory Authority, Inc., International Securities Exchange, LLC, Investors' Exchange LLC, NASDAQ OMX BX, Inc., NASDAQ OMX PHLX, Inc., National Stock Exchange, Inc., New York Stock Exchange LLC, NYSE Amex LLC, NYSE Arca, Inc., and The Nasdaq Stock Market LLC (collectively referred to as the "Participants"), in their respective capacities as parties to the Joint Self-Regulatory Plan Governing the Collection, Consolidation and Dissemination of Quotation and Transaction Information for Nasdaq-Listed Securities Traded on Exchanges on an Unlisted Trading Privileges Basis (the "Plan").

The Participants enter into this Agreement in order to reflect the admission of Investors' Exchange LLC into the Plan by adding its name to the Plan.

For this purpose, the Participants agree that:

- (a) Section I(A) of the Plan, as heretofore amended and restated, is hereby further amended as follows:

#### A. Participants

1. BATS Exchange, Inc.  
8050 Marshall Drive  
Lenexa, Kansas 66214
2. BATS Y-Exchange, Inc.  
8050 Marshall Drive, Ste 120,  
Lenexa, KS 66214
3. Chicago Board Options Exchange, Inc.  
400 South LaSalle Street, 26<sup>th</sup> Floor  
Chicago, Illinois 60605
4. Chicago Stock Exchange  
440 South LaSalle Street  
Chicago, Illinois 60605
5. EDGA Exchange, Inc.  
545 Washington Boulevard  
Sixth Floor

Jersey City, NJ 07310

6. EDGX Exchange, Inc.  
545 Washington Boulevard  
Sixth Floor  
Jersey City, NJ 07310
7. Financial Industry Regulatory Authority, Inc.  
1735 K Street, N.W.  
Washington, D.C. 20006
8. International Securities Exchange, LLC  
60 Broad Street  
New York, New York 10004
9. Investors' Exchange LLC  
4 World Trade Center  
44th Floor  
New York, New York 10007
10. NASDAQ OMX BX, Inc.  
One Liberty Plaza  
New York, New York 10006
11. NASDAQ OMX PHLX, Inc.  
1900 Market Street  
Philadelphia, Pennsylvania 19103
12. National Stock Exchange, Inc.  
101 Hudson, Suite 1200  
Jersey City, NJ 07302
13. New York Stock Exchange LLC  
11 Wall Street  
New York, New York 10005
14. NYSE Amex LLC  
20 Broad Street  
New York, New York 10005
15. NYSE Arca, Inc.  
100 South Wacker Drive  
Suite 1800  
Chicago, IL 60606
16. The Nasdaq Stock Market LLC  
1 Liberty Plaza  
165 Broadway  
New York, NY 10006

(b) Section VIII(C) of the Plan, as heretofore amended and restated, is hereby further amended as follows:

C. Symbols for Market Identification for Quotation Information and Transaction Reports

The following symbols shall be used to denote the marketplaces:

<b>CODE</b>	<b>PARTICIPANT</b>
A	NYSE Amex LLC
Z	Bats Exchange, Inc.
B	NASDAQ OMX BX, Inc.
W	Chicago Board Options Exchange, Inc.
M	Chicago Stock Exchange, Inc.
I	International Securities Exchange, LLC
V	Investors' Exchange LLC
D	Financial Industry Regulatory Authority, Inc.
Q	Nasdaq Stock Market LLC
C	National Stock Exchange, Inc.
N	New York Stock Exchange LLC
P	NYSE Arca, Inc.
X	Nasdaq OMX PHLX, Inc.

\* \* \* \* \*

Addendum 1 to this Agreement contains an additional version of Sections I(A) and VIII(C), marked to show the proposed changes set forth in this Agreement. In Addendum 1, proposed additions are underscored and proposed deletions are [~~struck through and bracketed~~].)

3. Under Rule 608(b)(3)(ii) of Regulation NMS, the amendment is concerned solely with the administration of the Plans. Also, the amendment is a "Ministerial Amendment" under clause (1) of Section XVI of the Plan. As a result, the amendment becomes effective upon filing with the Commission and can be submitted by the Chairman of the Plan's Operating Committee.

Except for the amendments contained in this amendment, the Plan is unchanged and remains in full force and effect.

IN WITNESS WHEREOF, the Chairman of the Plan's Operating Committee has executed this amendment as of the date first above written.



Emily Kasparov  
Chairman  
Plan Operating Committee

## **ADDENDUM 1**

### **to the Thirty-Seventh Amendment to the Plan**

PROPOSED AMENDMENTS TO THE NASDAQ/UTP PLAN

MARKED TO SHOW CHANGES FROM THE EXISTING PLAN

(Additions are underscored; Deletions are [~~struck through and~~  
bracketed].)

#### Section I. Participants.

The Participants include the following:

##### A. Participants

1. BATS Exchange, Inc.  
8050 Marshall Drive  
Lenexa, Kansas 66214
2. BATS Y-Exchange, Inc.  
8050 Marshall Drive, Ste 120  
Lenexa, KS 66214
3. Chicago Board Options Exchange, Inc.  
400 South LaSalle Street, 26<sup>th</sup> Floor  
Chicago, Illinois 60605
4. Chicago Stock Exchange  
440 South LaSalle Street  
Chicago, Illinois 60605
5. EDGA Exchange, Inc.  
545 Washington Boulevard  
Sixth Floor  
Jersey City, NJ 07310
6. EDGX Exchange, Inc.  
545 Washington Boulevard  
Sixth Floor  
Jersey City, NJ 07310
7. Financial Industry Regulatory Authority, Inc.  
1735 K Street, N.W.  
Washington, D.C. 20006

8. International Securities Exchange, LLC  
60 Broad Street  
New York, New York 10004
9. Investors' Exchange LLC  
4 World Trade Center  
44th Floor  
New York, New York 10007
- 10[9]. NASDAQ OMX BX, Inc.  
One Liberty Plaza  
New York, New York 10006
- 11[40]. NASDAQ OMX PHLX, Inc.  
1900 Market Street  
Philadelphia, Pennsylvania 19103
- 12[44]. National Stock Exchange, Inc.  
101 Hudson, Suite 1200  
Jersey City, NJ 07302
- 13[42]. New York Stock Exchange LLC  
11 Wall Street  
New York, New York 10005
- 14[43]. NYSE Amex LLC  
20 Broad Street  
New York, New York 10005
- 15[44]. NYSE Arca, Inc.  
100 South Wacker Drive  
Suite 1800  
Chicago, IL 60606
- 16[45]. The Nasdaq Stock Market LLC  
1 Liberty Plaza  
165 Broadway  
New York, NY 10006

\* \* \* \* \*

Section VIII Transmission of Information to Processor by Participants

A. and B. – No change.

C. Symbols for Market Identification for Quotation Information and Transaction Reports

The following symbols shall be used to denote the marketplaces:

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Q	Nasdaq Stock Market LLC
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P	NYSE Arca, Inc.
X	Nasdaq OMX PHLX, Inc.