

AMENDMENT NO. 36

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

CBOE Withdrawal from UTP Plan

AGREEMENT made as of the 24th day of May, 2016, by the undersigned registered national securities association and national securities exchanges (collectively referred to as the “Participants”), that are 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 (1) to effect the withdrawal of the Chicago Board Options Exchange, Inc. from the Plan, (2) to reflect changes to the names and addresses of certain Participants and (3) to update the listing of Participant identifying codes.

For those purposes, 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 BYX Exchange, Inc.
8050 Marshall Drive, Ste 120
Lenexa, Kansas 66214
2. Bats BZX Exchange, Inc.
8050 Marshall Drive, Ste 120
Lenexa, Kansas 66214
3. Bats EDGA Exchange, Inc.
8050 Marshall Drive, Ste 120
Lenexa, Kansas 66214
4. Bats EDGX, Inc
8050 Marshall Drive, Ste 120,
Lenexa, KS 66214
5. Chicago Stock Exchange, Inc.
440 South LaSalle Street
Chicago, Illinois 60605

6. Financial Industry Regulatory Authority, Inc.
1735 K Street, N.W.
Washington, D.C. 20006
7. International Securities Exchange,
60 Broad Street
New York, New York 10004.
8. NASDAQ BX, Inc.
One Liberty Plaza
165 Broadway
New York, New York 10006
9. NASDAQ PHILX LLC
1900 Market Street
Philadelphia, Pennsylvania 19103
10. The NASDAQ Stock Market LLC
One Liberty Plaza
165 Broadway
New York, NY 10006
11. National Stock Exchange, Inc.
101 Hudson, Suite 1200
Jersey City, NJ 07302
12. New York Stock Exchange LLC
11 Wall Street
New York, New York 10005
13. NYSE Arca, Inc.
11 Wall Street
New York, New York 10005
14. NYSE MKT LLC
11 Wall Street
New York, New York 10005

(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:

CODE	PARTICIPANT
A	NYSE MKT LLC
Z	Bats BZX Exchange, Inc.
Y	Bats BYX Exchange, Inc.
B	NASDAQ BX, Inc.
M	Chicago Stock Exchange, Inc.
J	Bats EDGA Exchange, Inc.
K	Bats EDGX Exchange, Inc.
D	Financial Industry Regulatory Authority, Inc.
I	International Securities Exchange, LLC
Q	NASDAQ Nasdaq Stock Market LLC
C	National Stock Exchange, Inc.
N	New York Stock Exchange LLC
P	NYSE Arca, Inc.
X	NASDAQ PHLX LLC
*	* * * * *

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~~].)

Under Rule 608(b)(3)(ii) of Regulation NMS, the amendment is concerned solely with the administration of the Plan. Also, the amendment is a “Ministerial Amendment” under 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.

The Participants may execute this Agreement in counterparts, no one of which need contain all signatures of all executing parties. A set of those counterparts that contains all such signatures shall constitute one and the same instrument.

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-Sixth 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 BYX [~~BATS~~] Exchange, Inc.
8050 Marshall Drive, Ste 120,
Lenexa, Kansas 66214
2. Bats BZX Exchange [~~BATS Y-Exchange~~], Inc.
8050 Marshall Drive, Ste 120,
Lenexa, Kansas 66214
- 3[4]. Bats EDGA Exchange, Inc.
8050 Marshall Drive, Ste 120,
Lenexa, Kansas 66214
- 4[2]. Bats EDGX Exchange, Inc
8050 Marshall Drive, Ste 120,
Lenexa, KS 66214
- [3-] [~~Chicago Board Options Exchange, Inc.~~
~~400 South LaSalle Street, 26th Floor~~
~~Chicago, Illinois 60605~~]
- 5[4] Chicago Stock Exchange, Inc.
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]~~
- ~~6[7].~~ Financial Industry Regulatory Authority, Inc.
1735 K Street, N.W.
Washington, D.C. 20006
- ~~7[8].~~ International Securities Exchange, LLC
60 Broad Street
New York, New York 10004
- ~~8[9].~~ NASDAQ ~~[OMX]~~ BX, Inc.
One Liberty Plaza
165 Broadway
New York, New York 10006
- ~~9[10].~~ NASDAQ ~~[OMX]~~ PHLX LLC
1900 Market Street
Philadelphia, Pennsylvania 19103
10. NASDAQ Stock Market LLC
One Liberty Plaza
165 Broadway
New York, NY 10006
11. National Stock Exchange, Inc.
101 Hudson, Suite 1200
Jersey City, NJ 07302
12. New York Stock Exchange LLC
11 Wall Street
New York, New York 10005
13. NYSE Arca, Inc.
11 Wall Street
New York, New York 10005
- ~~14[13].~~ NYSE MKT ~~[Amex]~~ LLC
11 Wall ~~[20 Broad]~~ Street
New York, New York 10005
- ~~[14.] [NYSE Arca, Inc.
400 South Wacker Drive
Suite 1800
Chicago, IL 60606]~~

[15]. [~~The Nasdaq Stock Market LLC
1 Liberty Plaza
165 Broadway
New York, NY 10006~~]

B. Additional Participants – No change.

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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:

CODE	PARTICIPANT
A	NYSE <u>MKT</u> [Amex] LLC
Z	Bats <u>BZX</u> [BATS] Exchange, Inc.
Y	Bats <u>BYX</u> Exchange, Inc.
B	NASDAQ [OMX] BX, Inc.
W	Chicago Board Options Exchange, Inc.
M	Chicago Stock Exchange, Inc.
J	Bats <u>EDGA</u> Exchange, Inc.
K	Bats <u>EDGX</u> Exchange, Inc.
I	International Securities Exchange, LLC
D	Financial Industry Regulatory Authority, Inc.
Q	NASDAQ [Nasdaq] Stock Market LLC
C	National Stock Exchange, Inc.
N	New York Stock Exchange LLC
P	NYSE Arca, Inc.
X	<u>NASDAQ</u> [Nasdaq-OMX] PHLX LLC

D. No change.