

## AMENDMENT NO. 39

### 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

#### Participant Name and Address Changes

AGREEMENT made as of the 29th day of June, 2017, among Bats BYX Exchange, Inc., Bats BZX Exchange, Inc., Bats EDGA Exchange, Inc., Bats EDGX Exchange, Inc., Chicago Board Options Exchange, Inc., Chicago Stock Exchange, Inc., Financial Industry Regulatory Authority, Inc., International Securities Exchange LLC, Investors' Exchange LLC, NASDAQ BX, Inc., NASDAQ PHLX, Inc., NASDAQ Stock Market LLC, New York Stock Exchange LLC, NYSE Arca, Inc., NYSE MKT LLC, and NYSE National, Inc. (collectively, the "Participants").

The Participants enter into this Agreement in order to reflect changes to the names and addresses of certain Participants and 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 Exchange, Inc.  
8050 Marshall Drive, Ste 120,  
Lenexa, Kansas 66214
5. Chicago Board Options Exchange, Inc.  
400 South LaSalle Street, 26<sup>th</sup> Floor  
Chicago, Illinois 60605

6. Chicago Stock Exchange, Inc.  
440 South LaSalle Street  
Chicago, Illinois 60605
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 BX, Inc.  
One Liberty Plaza  
165 Broadway  
New York, New York 10006
11. NASDAQ PHLX, Inc.  
1900 Market Street  
Philadelphia, Pennsylvania 19103
12. NASDAQ Stock Market LLC  
One Liberty Plaza  
165 Broadway  
New York, NY 10006
13. New York Stock Exchange LLC  
11 Wall Street  
New York, New York 10005
14. NYSE Arca, Inc.  
11 Wall Street  
New York, New York 10005
15. NYSE MKT LLC  
11 Wall Street  
New York, New York 10005
16. NYSE National, Inc.  
101 Hudson, Suite 1200  
Jersey City, NJ 07302

(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 MKT LLC
Z	Bats BZX Exchange, Inc.
Y	Bats BYX Exchange, Inc.
B	NASDAQ BX, Inc.
W	Chicago Board Options Exchange, Inc.
M	Chicago Stock Exchange, Inc.
J	Bats EDGA Exchange, Inc.
K	Bats EDGX Exchange, Inc.
I	International Securities Exchange, LLC
V	Investors' Exchange LLC
D	Financial Industry Regulatory Authority, Inc.
Q	NASDAQ Stock Market LLC
C	NYSE National, Inc.
N	New York Stock Exchange LLC
P	NYSE Arca, Inc.
X	NASDAQ 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 underlined 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.

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-Ninth Amendment to the Plan

#### PROPOSED AMENDMENTS TO THE UTP PLAN

MARKED TO SHOW CHANGES FROM THE EXISTING PLAN  
(Additions are underlined; Deletions are [~~struck through and bracketed~~].)

#### Section 1. 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 [~~BATS Y-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 Exchange, Inc.  
8050 Marshall Drive, Ste 120,  
Lenexa, Kansas 66214
- [3]5. Chicago Board Options Exchange, Inc.  
400 South LaSalle Street, 26<sup>th</sup> Floor  
Chicago, Illinois 60605
- [4]6. 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]~~
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  
165 Broadway  
New York, New York 10006
11. NASDAQ [~~OMX~~]PHLX, Inc.  
1900 Market Street  
Philadelphia, Pennsylvania 19103
12. NASDAQ Stock Market LLC  
One Liberty Plaza  
165 Broadway  
New York, NY 10006[
- ~~12. National Stock Exchange, Inc.  
101 Hudson, Suite 1200  
Jersey City, NJ 07302]~~
- ~~14.~~13. New York Stock Exchange LLC  
11 Wall Street  
New York, New York 10005
14. NYSE Arca, Inc.  
11 Wall Street  
New York, New York 10005
- [14]15. NYSE [~~Amex~~]MKT LLC  
11 Wall Street [~~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]~~

16. NYSE National, Inc.  
101 Hudson, Suite 1200  
Jersey City, NJ 07302

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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:

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