

**WARNING:** Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative, or criminal action.

**INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS**

APPLICATION  AMENDMENT

1. State the name of the applicant: National Stock Exchange, Inc.
2. Provide the applicant's primary street address (Do not use a P.O. Box):  
101 Hudson Street, Suite 1200  
Jersey City, New Jersey 07302

**13035743**
3. Provide the applicant's mailing address (if different):  


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4. Provide the applicant's business telephone and facsimile number:  
(201) 499-3700 (201) 499-0174  
 (Telephone) (Facsimile)
5. Provide the name, title, and telephone number of a contact employee:  
Christopher Solgan Senior Regulatory Counsel (201) 499-3698  
 (Name) (Title) (Telephone Number)
6. Provide the name and address of counsel for the applicant:  
Christopher Solgan  
National Stock Exchange, Inc.  
101 Hudson Street, Suite 1200, Jersey City, New Jersey 07302
7. Provide the date applicant's fiscal year ends: December 31
8. Indicate legal status of applicant:  Corporation  Sole Proprietorship  Partnership  
 Limited Liability Company  Other (specify): \_\_\_\_\_  
 If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):  
 (a) Date (MM/DD/YY): 06/26/2006 (b) State/Country of formation: Delaware, USA  
 (c) Statute under which applicant was organized: D.C.L. 245 et seq.

**EXECUTION:** The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duty sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

Date: 03/28/2013 National Stock Exchange, Inc.  
(MM/DD/YY) (Name of applicant)  
 By: Christopher Solgan, Senior Regulatory Counsel  
(Signature) (Printed Name and Title)  
 Subscribed and sworn before me this 28<sup>th</sup> day of March, 2013 by Philip J. Asaro  
(Month) (Year) (Notary Public)  
 My Commission expires May 16, 2015 County of: Suffolk State of: New York

**This page must always be completed in full with original, manual signature and notarization.**  
**Affix notary stamp or seal where applicable.**

**PHILIP J. ASARO**  
 Notary Public - State of New York  
 No. 01AS6241142  
 Qualified in Suffolk County  
 My Commission Expires May 16, 2015  
*Certificate filed in New York County*

United States Securities and Exchange Commission  
Washington, D.C. 20549

Form 1  
Amendment to Application for Registration as a National Securities Exchange

*National Stock Exchange, Inc.*

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*Exhibit J*

Officers, Directors, Members of Standing Committees  
(from March 28, 2012 through March 27, 2013)

Current Officers:

|                  |   |
|------------------|---|
| David F. Harris  | Director, Chairman, & Chief Executive Officer<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange. |
| Francis Corcoran | President, Chief Administrative Officer<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.       |
| David Reed       | Chief Operating Officer<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.                       |
| Bruce Kulback    | Chief Information Officer<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.                     |
| Susan Ameal      | Chief Regulatory Officer<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.                      |
| Jeremy Sanchez   | Vice President, Regulation<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.                    |
| Philip M. Pinc   | General Counsel, Secretary<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.                    |

*Exhibit J (cont.)*

**Current Officers (cont'd):**

|                           |   |
|---------------------------|---|
| <b>Christopher Solgan</b> | Senior Regulatory Counsel<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.             |
| <b>Francis Paulino</b>    | Vice President, Business Development<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange.  |
| <b>Michael Serafin</b>    | Vice President, Client Services<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange        |
| <b>Wendy Fumagalli</b>    | Vice President, Finance and Accounting<br>Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.<br>Employee of the Exchange |

**Former Officers:**

|                          |  |
|--------------------------|--|
| <b>Paul P. Smith</b>     | Vice President, Regulation<br>Ceased Employment on October 26, 2012.<br>Former employee of the Exchange.     |
| <b>Stephanie Marrin</b>  | Assistant Vice President, Regulation<br>Ceased Employment April 2, 2012.<br>Former Employee of the Exchange. |
| <b>Kenneth A. Hanson</b> | Vice President, Finance<br>Ceased Employment May 31, 2012.<br>Former Employee of the Exchange.               |

*Exhibit J (cont.)*

Current Directors:

|                     |   |
|---------------------|---|
| David F. Harris     | Director, Chairman and Chief Executive Officer. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. CEO Director. |
| Craig Drill         | Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.                  |
| John Faso           | Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.                  |
| Kathleen Hamm       | Director. Service commenced February 10, 2012 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.                  |
| Gordon Martin       | Director. Current term commenced on December 31, 2012 and expires at the Exchange's next Annual Meeting. Industry Director.                                       |
| Thomas O'Mara       | Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. ETP Holder Director.                                |
| Jeffrey Brown       | Director. Service commenced December 31, 2012 and current term expires at the Exchange's next Annual Meeting. ETP Holder Director.                                |
| Antoine Shagoury    | Director. Service commenced February 10, 2012 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.                  |
| Michael Szymanski   | Director. Service commenced December 30, 2011 and current term expires at the Exchange's next Annual Meeting. Non-Industry/Independent Director.                  |
| Gerald T. O'Connell | Director. Service commenced on March 27, 2012 and current term expires at the Exchange's next Annual Meeting. Industry Director.                                  |

*Exhibit J (cont.)*

Former Directors:

John Procopion

Service commenced on December 31, 2010 and expired December 31, 2013. Former ETP Holder Director.

Exchange Committees

Executive Committee

Current Members

David Harris (Chairman), service commenced 2/10/12

Thomas O'Mara, service commenced 2/10/12

John Faso, service commenced 2/10/12

Kathleen Hamm, service commenced 2/10/12

Gerald T. Connell, service commenced 6/28/12

Executive Compensation Committee

Current Members

Antoine Shagoury (Chairman), service commenced 2/10/12

Craig Drill, service commenced 2/10/12

Michael Szymanski, service commenced 2/10/12

Governance & Nominating Committee

Current Members

John Faso (Chairman), service commenced 2/10/12

David Harris, service commenced 2/10/12

Craig Drill, service commenced 2/10/12

Jeffrey Brown, service commenced 03/27/13

Former Members

John Procopion, term ended 12/31/12

ETP Holder Director Nominating Committee

Current Members

Thomas O'Mara (Chairman), service commenced 12/30/11

Jeffrey Brown, service commenced 03/27/13

Andrew O'Hara, service commenced 03/27/13

Former Members

John Procopion, term ended 12/31/12

Jeffery Shaw, term ended 03/27/13

Audit Committee

Current Members

Michael Szymanski (Chairman), service commenced 2/10/12

John Faso, service commenced 2/10/12

Antoine Shagoury, service commenced 2/10/12

Regulatory Oversight Committee

Current Members

Kathleen Hamm (Chairwoman), service commenced 2/10/12

John Faso, service commenced 2/10/12

Michael Szymanski, service commenced 2/10/12

Business Conduct Committee

Current Members

Elizabeth H. Baird, service commenced 6/28/12

Richard Y. Roberts, service commenced 6/28/12

Anthony Seisser, service commenced 6/28/12

Appeals Committee

Current Members

Thomas O'Mara, service commenced 2/10/12

Craig Drill, service commenced 2/10/12

Jeffrey Brown, service commenced 03/27/13

Former Members

John Procopion, term ended 12/31/12

## Chris Solgan

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**From:** Phil Pinc  
**Sent:** Wednesday, March 27, 2013 12:35 PM  
**To:** Chris Solgan  
**Subject:** Form 1 Amendment

Hi Chris, the following NSX committee membership changes were approved by the Board today, I think a Form 1 amendment will need to be filed to reflect this (all effective today, 3/27/13):

1. ETP Holder Director Nominating Committee: Jeff Brown and Andy O'Hara were added, Jeff Shaw was removed
2. Governance & Nominating Committee: Jeff Brown was added
3. Appeals Committee: Jeff Brown was added

Thanks.

Phil Pinc  
General Counsel, VP & Secretary



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[phil.pinc@nsx.com](mailto:phil.pinc@nsx.com)

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