

COPY

Form 1 Page 1 Execution Page	UNITED STATES SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION PURSUANT TO SECTION 5 OF THE EXCHANGE ACT	Date filed (MM/DD/YY): 8/27/15	OFFICIAL USE ONLY
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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, NJ 07302

SEC  
Mail Processing  
Section

3. Provide the applicant's mailing address (if different):  
Washington DC  
404

AUG 28 2015

4. Provide the applicant's business telephone and facsimile number:  
201-499-3700 201-499-0727  
(Telephone) (Facsimile)

5. Provide the name, title, and telephone number of a contact employee:  
James G. Buckley Chief Regulatory Officer 201-499-3698  
(Name) (Title) (Telephone Number)

6. Provide the name and address of counsel for the applicant:  
\_\_\_\_\_  
\_\_\_\_\_

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):  
6/26/06 Delaware, USA

(a) Date (MM/DD/YY): \_\_\_\_\_ (b) State/Country of formation: \_\_\_\_\_

(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 duly 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: 08/27/15 National Stock Exchange, Inc.

By: (Signature) James G. Buckley, Chief Regulatory Officer (Name of applicant)

Subscribed and sworn before me this 27 day of August, 2015 by MARVENA WELDON  
(Month) (Year) (Notary Public)

My Commission expires 3/17/2017 County of Hudson State of New Jersey

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

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National Stock Exchange

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James G. Buckley  
Chief Regulatory Officer  
t: 201.499.3698  
f: 201.499.0727  
james.buckley@nsx.com

Via Electronic Mail and Federal Express

August 27, 2015

Katherine A. England, Esq.  
Division of Trading and Markets  
Securities and Exchange Commission  
100 F Street NE  
Washington, DC 20549

Re: National Stock Exchange, Inc. Form 1 Amendment

Dear Ms. England:

In accordance with Rule 6a-2 pursuant to the Securities Exchange Act of 1934, as amended, enclosed please find the original and two copies of an amendment to the Form 1 for National Stock Exchange, Inc., specifically Exhibit J thereof.

Please contact me if you have any questions.

Very truly yours,

enclosures

NATIONAL STOCK EXCHANGE  
101 HUDSON STREET, SUITE 1200  
JERSEY CITY, NEW JERSEY 07302  
[WWW.NSX.COM](http://WWW.NSX.COM)

PHONE (201)499-3700  
FAX (201) 499-0174

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  
(As of August 27, 2015)**

**Officers:**

Mark Sulavka	Chairman, Chief Executive Officer and President. Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.
James G. Buckley	Chief Regulatory Officer. Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.
Donald Bernotus	Chief Administrative Officer, Secretary and Treasurer. Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.
Jeffrey S. Diedrich	Chief Technology Officer. Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.
Mark Leischner	Chief Information Officer. Current term expires upon successor's appointment and qualification, or upon officer's earlier death, resignation, retirement or removal.

**Former Officers:**

David Reed	Chief Operating Officer Ceased Employment on June 13, 2014.
Susan Ameal	Chief Regulatory Officer, Regulation Ceased Employment on June 30, 2014.
Michael Serafin	Vice President, Client Services

	Ceased Employment on July 15, 2014.
Bruce Kulback	Chief Information Officer Ceased Employment on July 31, 2014.
Jeremy Sanchez	Chief Compliance Officer Ceased Employment on August 8, 2014.
David F. Harris	Director, Chairman, Chief Executive Officer Ceased employment on February 18, 2015
Francis T. Corcoran	President, Chief Administrative Officer Ceased employment on February 18, 2015
Philip M. Pinc	Vice President, General Counsel and Secretary Ceased employment on February 18, 2015.
Francis N. Paulino	Senior Vice President, Business Development Ceased employment on February 18, 2015.

**Directors:**

Mark Sulavka	Chief Executive Officer Director. Term commenced on February 18, 2015.
David Karlin	Industry Director. Term commenced on February 18, 2015.
Donato Cuttone	Equity Trading Permit (“ETP”) Holder Director. Term commenced on February 18, 2015.
Timothy Lang	ETP Holder Director. Term commenced on February 26, 2015.
Louis Pastina	Independent Director. Term commenced on February 18, 2015.
Art Pedrazza	Non-Industry Director. Term commenced on February 18, 2015.
Anthony Scillia	Non-Industry Director. Term commenced on February 18, 2015.

**Former Directors:**

Craig Drill	Service commenced December 30, 2011 and concluded on October 30, 2013. Former Non-Industry/Independent Director.
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Kathleen Hamm	Service commenced February 10, 2012 and concluded on September 25, 2014. Former Non-Industry/Independent Director.
David F. Harris	Service commenced December 30, 2011 and concluded on February 18, 2015. Former CEO Director.
John Faso	Service commenced December 30, 2011 and concluded on February 18, 2015. Former Non-Industry/Independent Director.
Gordon Martin	Service commenced on December 31, 2012 and concluded on February 18, 2015. Former Industry Director.
Thomas O'Mara	Service commenced December 30, 2011 and concluded on February 18, 2015. Former ETP Holder Director.
Jeffrey Brown	Service commenced December 31, 2012 concluded on February 18, 2015. Former Non-Industry/Independent Director.
Antoine Shagoury	Service commenced February 10, 2012 and concluded on February 18, 2015. Former Non-Industry/Independent Director.
Steve Sosnick	Service commenced December 31, 2013 and concluded on February 18, 2015. Former ETP Holder Director.
Michael Szymanski	Service commenced December 30, 2011 and concluded on February 18, 2015. Former Non-Industry/Independent Director.
Gerald T. O'Connell	Service commenced on March 27, 2012 and concluded on February 18, 2015. Former Industry Director.

### Exchange Committees

#### Executive Committee

##### Current Members

Mark Sulavka (Chair), term commenced on 2/26/15

Donato Cuttone, term commenced on 2/26/15

Art Pedrazza, term commenced on 2/26/15

Anthony Scillia, term commenced on 2/26/2015

##### Former Members

Kathleen Hamm, term commenced 2/10/12; service concluded on 9/25/14.

David Harris (Chair), term commenced 2/10/12; service concluded on 2/18/15

Thomas O'Mara, term commenced 2/10/12; service concluded on 2/18/15

John Faso, term commenced 2/10/12; service concluded on 2/18/15

Gerald T. O'Connell, term commenced 6/28/12; service concluded on 2/18/15

**Executive Compensation Committee**

**Current Members**

Louis Pastina, term commenced on 2/26/15  
Art Pedrazza, term commenced on 2/26/15  
Anthony Scillia, term commenced on 2/26/15

**Former Members**

Antoine Shagoury (Chair), term commenced 2/10/12; service concluded on 2/18/15  
Jeffrey Brown, term commenced 11/21/13; service concluded on 2/18/15  
Michael Szymanski, term commenced 2/10/12; service concluded on 2/18/15

**Regulatory Oversight Committee**

**Current Members**

Louis Pastina (Chair), term commenced on 2/26/15  
Art Pedrazza, term commenced on 2/26/15  
Anthony Scillia, term commenced on 2/26/15

**Former Members**

Kathleen Hamm (Chair), term commenced 2/10/12; service concluded on 9/25/14  
John Faso, term commenced 2/10/12; service concluded on 2/18/15  
Michael Szymanski, term commenced 2/10/12; service concluded on 2/18/15

**Governance & Nominating Committee**

**Current Members**

Mark Sulavka, term commenced on 2/26/15  
Art Pedrazza, term commenced on 2/26/15  
Anthony Scillia, term commenced on 2/26/15  
David Karlin, term commenced on 2/26/15

**Former Members**

John Faso (Chair), term commenced 2/10/12; service concluded on 2/18/15  
David Harris, term commenced 2/10/12; service concluded on 2/18/15  
Jeffrey Brown, term commenced 03/27/13; service concluded on 2/18/15

**ETP Holder Director Nominating Committee**

**Current Members**

Donato Cuttone, term commenced on 2/26/15  
Tim Lang, term commenced on 2/26/15

**Former Members**

Thomas O'Mara (Chair), term commenced 2/10/12; service concluded on 2/18/15

Andy O'Hara, term commenced 3/27/13; service concluded on 2/18/15

**Audit Committee**

Current Members

Anthony Scillia (Chair), term commenced on 2/26/15

Louis Pastina, term commenced on 2/26/15

Art Pedrazza, term commenced on 2/26/15

Former Members

Michael Szymanski (Chair), term commenced 2/10/12; service concluded on 2/18/15

John Faso, term commenced 2/10/12; service concluded on 2/18/15

Antoine Shagoury, term commenced 2/10/12; service concluded on 2/18/15

**Business Conduct Committee**

Current Members

Elizabeth H. Baird, term commenced 2/26/15

Thomas McManus, term commenced 2/26/15

Anthony Seisser, term commenced 2/26/15

**Appeals Committee**

Current Members

David Karlin, term commenced 2/26/15

Donato Cuttone, term commenced 2/26/15

Louis Pastina, term commenced 2/26/15

Former Members

Jeffrey Brown, term commenced 03/27/13; service concluded on 2/18/15

Thomas O'Mara, term commenced 2/10/12; service concluded on 2/18/15



Page 1 of 1

ORIGIN ID: AIYA (201) 499-0173  
MARVENA WELDON  
NATIONAL STOCK EXCHANGE  
101 HUDSON STREET  
SUITE 1200  
JERSEY CITY, NJ 07310  
UNITED STATES US

SHIP DATE: 27AUG15  
ACTWGT: 1.00 LB  
CAD: 104370990/NET3670

BILL SENDER

TO KATHERINE A. ENGLAND, ESQ.  
DIVISION OF TRADING AND MARKETS  
SECURITIES AND EXCHANGE COMM  
100 F STREET NE  
WASHINGTON DC 20549

539J11FECA81D0

(201) 499-3698

REF: JB-REG DIVISION

INV:  
PO:

DEPT:

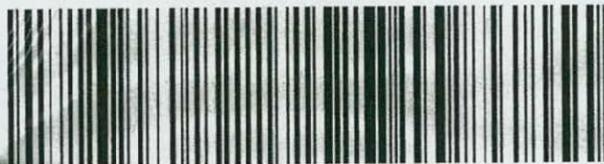


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**To: England, Katherine**  
 Department: HQ/TM  
 Phone: 202.551.5610  
 Route: HQ  
 Mail Stop: 7010  
 Building:

Package Type:  
 Sender Name:

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