

EXHIBIT 5

Deleted text is [bracketed]. New text is underlined.

The Nasdaq Stock Market LLC Rules

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2830. Investment Company Securities

(a) Nasdaq Members and their associated persons shall comply with [NASD]FINRA Rule [2830]2341 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule:

(1) references to ["the Rules of the Association"]"FINRA rules" shall be construed as references to "the Nasdaq Rules"

(2) references to Rule [2820]2320 shall be deleted, and no comparable Nasdaq Rule shall apply to activities of Nasdaq Members in connection with contracts providing for benefits or values which may vary according to the investment experience of any separate or segregated account or accounts maintained by an insurance company,

(3) references to Rule [2420]2040 shall be construed as a requirement that a Nasdaq member who is an underwriter of the securities of an investment company selling any such securities, may not directly or indirectly, pay any compensation, fees, concessions, discounts, commissions or other allowances to any person that is not registered as a broker-dealer under Section 15(a) of the Exchange Act but, by reason of receipt of any such payments and the activities related thereto, is required to be so registered under applicable federal securities laws and Exchange Act rules and regulations; or any appropriately registered associated person unless such payment complies with all applicable federal securities laws, Nasdaq rules and Exchange Act rules and regulations[sell any such securities to a broker or dealer that is not a Nasdaq member at the same prices, for the same commission and fees, and on the same terms and conditions as are by such member accorded to the general public], and

(4) references to Rule [2230]2232 shall be construed as references to SEC Rule 10b-10.

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3360. Short-Interest Reporting

(a) To the extent such information is not otherwise reported to [the NASD]FINRA in conformance with [NASD]FINRA Rule [3360]4560, each member shall maintain a record of total "short" positions in all customer and proprietary firm accounts in all securities listed on Nasdaq and shall regularly report such information to Nasdaq in

such a manner as may be prescribed by Nasdaq. [Reports shall be made as of the close of the settlement date designated by Nasdaq.]Reports shall be received by Nasdaq no later than the second business day after the reporting settlement date designated by Nasdaq.

(b) [For purposes of this Rule:

(1) Members shall record and report all gross ["short"] positions [to be reported are those resulting from]existing in each individual firm or customer account, including the account of a broker-dealer, that resulted from (1) a "short sale[s]" as that term is defined in [SEC]Rule 200(a) of SEC Regulation SHO, or (2) where the transaction(s) that caused the short position was marked "long," consistent with [the exception]SEC Regulation SHO, due to the firm's or the customer's net long position at the time of the transaction. Members shall report only those short positions [that meet the following requirements:]resulting from short sales that have settled or reached settlement date by the close of the reporting settlement date designated by Nasdaq.

(c[A]) The recording and reporting requirements of this Rule shall not apply to:

(1) any sale by any person, for an account in which he has an interest, if such person owns the security sold and intends to deliver such security as soon as is possible without undue inconvenience or expense; and

[(B) any sale of a security covered by a short sale rule on a national securities exchange (except a sale to a stabilizing bid complying with Rule 104 of Regulation M) effected with the approval of such exchange which is necessary to equalize the price of such security thereon with the current price of such security on another national securities exchange which is the principal exchange market for such security;

(C) any sale of a security for a special arbitrage account by a person who then owns another security by virtue of which he is, or presently will be, entitled to acquire an equivalent number of securities of the same class as the securities sold; provided such sale, or the purchase with such sale offsets, is effected for the bona fide purpose of profiting from a current difference between the price of security sold and the security owned and that such right of acquisition was originally attached to or represented by another security or was issued to all the holders of any such of securities of the issuer;

(D) any sale of a security registered on, or admitted to unlisted trading privileges on, a national securities exchange effected for a special international arbitrage account for the bona fide purpose of profiting from a current difference between the price of such security on a securities market not within or subject to the jurisdiction of the United States and on a securities market subject to the jurisdiction of the United States; provided the seller at the time of such sale knows or, by virtue of information

currently received, has reasonable grounds to believe that an offer enabling him to cover such sale is then available to him such foreign securities market and intends to accept such offer immediately; and]

(2[E]) any sale by an underwriter, or any member of a syndicate or group participating in the distribution of a security, in connection with an over-allotment of securities, or any lay-off sale by such a person in connection with a distribution of securities through rights or a standby underwriting commitment.

[(2) the term "customer" includes a broker-dealer.]

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4200. Definitions

(a) For purposes of the Rule 4000 Series, unless the context requires otherwise:

(1) No change.

(2) "Underwriting Activity Report" is a report provided by the Corporate Financing Department of FINRA in connection with a distribution of securities subject to SEC Rule 101 pursuant to [NASD]FINRA Rule [2710(b)(11)]5190 and includes forms that are submitted by members to comply with their notification obligations under Rules 4614, 4619, and [4623]4624.

(b) For purposes of Rules 4614, 4619, and [4623]4624, the following terms shall have the meanings as defined in SEC Rule 100: "affiliated purchaser," "distribution," "distribution participant," "independent bid," "net purchases," "passive market maker," "penalty bid," "reference security," "restricted period," "subject security," and "syndicate covering transaction."

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6110. Definitions

(a) – (f) No change.

(g) The terms "correspondent executing broker" and "clearing broker" shall also include, where appropriate, the Non-Member Clearing Organizations [and UTP Exchanges]listed in [NASD]FINRA Rule[s] [6120]7220A and their qualifying members.

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11210. Sent by Each Party

(a) – (b) No change.

(c) "DK" Procedures Using "Don't Know Notices" ([NASD]FINRA Form No. 101)

When a party to a transaction sends a comparison or confirmation of a trade, but does not receive a comparison or confirmation or a signed DK, from the contra-member by the close of one business day following the trade date of the transaction, the following procedure may be utilized.

(1) The confirming member shall send by certified mail, return receipt requested, or messenger, a "Don't Know Notice" on the form prescribed by [NASD]FINRA Rule 11210 to the contra-member in accordance with the directions contained thereon. If the notice is sent by certified mail the returned, signed receipt therefor must be retained by the confirming member and attached to the fourth copy of the "Don't Know Notice." If delivered by messenger, the fourth copy must immediately be dated and manually receipted by, and imprinted with the firm stamp of, the contra-member pursuant to the provisions of paragraph (c)(4) of this Rule, returned to the messenger and thereafter be retained by the confirming member.

(2) – (5) No change.

(d) No change.

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IM-11710. Uniform Reclamation Form

To Accompany Reclamations Subject to NSCC

Rules & Regulations of [NASD]FINRA — Uniform Practice Code

Nasdaq — Uniform Practice Code

RECLAIMED TO	Rec No.	Name of	Date Securities
		Receiver	Below Received

RECLAIMED BY	Del. No.	Name of	Date of Return
		Deliverer	

Quantity	Security	Amount
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Description
 (certificate's can
 be applied to
 reverse side of

copy #1

Wrong Security

Should Be

Carries Due Bill

Needs Signature

Guarantee

Needs Tax

Stamp

Release Power

of Attorney

Coupon Missing

Other Explanation

Wrong Money _____ Our

Money

Duplicates Delivery _____

You Delivered On

Wrong Settlement Date

Our S/D

No Instructions

Needs Legal Opinion

Needs Better Account Date

Name of Person

Telephone Number

Extension

making

Reclamation

(Print)

ATTACH COPIES 1 & 2 TO CERTIFICATE - COPIES 3 & 4 ARE RETAINED BY DELIVERER

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11860. Acceptance and Settlement of COD Orders

(a) Nasdaq members shall comply with [NASD]FINRA Rule 11860 as if such Rule were part of Nasdaq's rules.

(b) Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with Nasdaq Rule 11860 by complying with [NASD]FINRA Rule 11860 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under Nasdaq Rule 11860 are being performed by FINRA on behalf of Nasdaq.

11870. Customer Account Transfer Contracts

(a) Nasdaq members shall comply with [NASD]FINRA Rule 11870 as if such Rule were part of Nasdaq's rules.

(b) Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with Nasdaq Rule 11870 by complying with [NASD]FINRA Rule 11870 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under Nasdaq Rule 11870 are being performed by FINRA on behalf of Nasdaq.

(c) No change.

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General 1 General Provisions

(a) No change.

(b) Unless the context otherwise requires:

(1) – (2) No change.

(3) The terms "Association" and "[NASD]FINRA" mean, collectively, the Financial Industry Regulatory Authority and its subsidiaries.

(4) – (11) No change.

(12) The term "[NASD]FINRA Regulation" means [NASD]FINRA Regulation, Inc.

(13) – (19) No change.

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General 2 Organization and Administration

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Section 5. Regulation of the Exchange and Its Members

(a) – (b) No change.

(c) In addition, Nasdaq has incorporated by reference certain [NASD]FINRA rules. Nasdaq members shall comply with these rules and interpretations as if such rules and interpretations were part of Nasdaq's rules.

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Section 7. Regulatory Independence

In furtherance of the independence of Nasdaq's regulatory functions from its commercial operations, Nasdaq shall ensure that, unless it obtains prior Commission approval, the regulatory functions subject to the Regulatory Contract as in effect at the time when Nasdaq begins to operate as a national securities exchange shall at all times continue to be performed by [NASD]FINRA or an affiliate thereof or by another independent self-regulatory organization.

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Section 15. Business Continuity Plans

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [3510]4370 as if such Rule were part of Nasdaq's Rules. Nasdaq and FINRA are parties to the Regulatory Contract Pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with this Rule by complying with [NASD]FINRA Rule [3510]4370 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under this Rule are being performed by FINRA on behalf of Nasdaq.

(b) For purposes of this rule references to Rule 4517 shall be construed as references to General 2, Section 16.

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General 9 Regulation

Section 1. General Standards

(a) – (b) No change.

(c) **Front Running Policy**

Nasdaq members and persons associated with a member shall comply with [NASD Interpretive Material 2110-3]FINRA Rule 5270 as if such Rule were part of Nasdaq's rules.

(d) – (e) No change.

(f) **Confirmation of Callable Common Stock.**

[Exchange members and persons]Nasdaq members and persons associated with a member shall comply with [NASD Interpretive Material 2110-6]FINRA Rule 2232 as if such Rule were part of the Nasdaq rules.

(g) – (i) No change.

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Section 3. Communications with the Public

(a) Nasdaq members and persons associated with a member shall comply with FINRA Rule 2210 (except FINRA Rule 2210(c)) as if such Rule were part of Nasdaq's Rules. Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with General 9, Section 3 by complying with FINRA Rule 2210 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under General 9, Section 3 are being performed by FINRA on Nasdaq's behalf.

[For purposes of this Rule, references to Rule 2211 shall be construed as references to Nasdaq Rule.]

[(b) Members and persons associated with a member shall comply with NASD Interpretive Material 2210-1 as if such Rule were part of Nasdaq's rules.]

[(c)b] Limitations on Use of the Exchange's Name. Members may indicate membership in Nasdaq in any communication with the public, provided that the communication complies with the applicable standards of General 9, Section 3 and neither states nor implies that Nasdaq, or any other corporate name or facility affiliated with Nasdaq, or any other regulatory organization, endorses, indemnifies, or guarantees the member's business practices, selling methods, the class or type of securities offered, or any specific security.

(c) references to a "FINRA membership" shall be construed as references to a "Nasdaq membership," and

(d) references to Rule 4512 shall be construed as references to General 9, Section 45, and references to Rule 3110 shall be construed as references to General 9, Section 20.

Section 4. [Institutional Sales Material and Correspondence]Reserved.

[(a) Nasdaq Members and persons associated with a member shall comply with NASD Rule 2211 (except NASD Rule 2211(c) and (d)(3)) as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule:

(1) references to an "NASD member" shall be construed as references to a "Nasdaq member", and

(2) references to NASD Rules 2210 and Rule 3110 shall be construed as references to General 9, Sections 3 and 30, respectively, and references to Rule 3010(d) shall be construed as references to NASD Rule 3010(d), as incorporated into the Nasdaq Rules by General 9, Section 20.]

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Section 9. Fairness Opinions

Nasdaq Members and persons associated with a member shall comply with [NASD]FINRA Rule [2290]5150 as if such Rule were part of Nasdaq's Rules.

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Section 11. Best Execution and Interpositioning

(a) Nasdaq Members shall comply with FINRA Rule 5310 as if such Rule were part of Nasdaq's Rules.

For purposes of this Rule: (1) References to [NASD]FINRA Rule [2440 and IM-2440]2121 and its supplementary material shall be disregarded; (2) References to FINRA members shall be construed as references to Nasdaq members; and (3) References to FINRA shall be construed as references to Nasdaq.

Section 12. Customer Account Statements

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [2340]2231 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule, references to Rule [2810]2310, Rule [3110]4512, and Rule 11860 shall be construed as references to Nasdaq Rule 2310A, General 9, Section [30]45, and Nasdaq Rule 11860.

(c) Pursuant to [General 5, Section 2]the Rule 9600 Series, Nasdaq may exempt any member from the provisions of this Rule for good cause shown.

Section 13. Margin Disclosure Statement

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [2341]2264 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule, references to Rule [3110]4512 shall be construed as references to General 9, Section [30]45.

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Section 16. Charges for Services Performed

Nasdaq Members shall comply with [NASD]FINRA Rule [2430]2122 as if such Rule were part of Nasdaq's Rules.

Section 17. Net Transactions with Customers

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [2441]2124 as if such Rule were part of the Nasdaq Rules.

(b) For purposes of this Rule, references to Rules [3110]4511 and 4512 shall be respectively construed as references to General 9, Sections 30 and 45.

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Section 19. Discretionary Accounts

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [2510]3260 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of applying this Rule, references to Rule [3010]3110 and Rule [3110]4512 shall be construed as references to General 9, Sections 20 and [30]45, respectively.

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Section 21. Supervisory Control System, Annual Certification of Compliance and Supervisory Processes

(a) Members and persons associated with a member shall comply with [NASD]FINRA Rule [3012]3120 as if such Rule were part of Nasdaq's rules. Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with Nasdaq [Rule 3012]General 9, Section 21 by complying with [NASD]FINRA Rule [3012]3120 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under General 9, Section 21 are being performed by FINRA on behalf of Nasdaq.

(b) For purposes of this Rule, references to "[NASD]FINRA Rules" shall be construed as references to "Nasdaq Rules".

(c) Annual Certification of Compliance and Supervisory Processes. Nasdaq Members and persons associated with a member shall comply with [NASD]FINRA Rule [3013]3130 as if such Rule were part of Nasdaq's Rules.

([b]d) For purposes of this Rule:

(1) references to "[NASD]FINRA Rules" shall be construed as references to "Nasdaq Rules",

(2) references to [NASD]FINRA Rule [3013]3130 and Rule [2110]2010 shall be construed as references to General 9, Section [22]21 and General 9, Section [3]1(a),

(3) references to "[NASD]FINRA members" shall be construed as references to "Nasdaq Members",

(4) references to "the [NASD]FINRA Board of Governors" shall be construed as references to "the Board of Directors of The Nasdaq Stock Market LLC", and

(5) No change.

Section 22. Reserved.[Annual Certification of Compliance and Supervisory Processes

(a) Nasdaq Members and persons associated with a member shall comply with NASD Rule 3013 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule:

(1) references to "NASD Rules" shall be construed as references to "Nasdaq Rules",

(2) references to IM-3013 shall be construed as references to Nasdaq IM-3013, and

(3) references to "MSRB rules" shall be deleted.

(c) **Annual Compliance and Supervision Certification.** Nasdaq Members and persons associated with a member shall comply with NASD Interpretive Material IM-3013 as if such Rule were part of Nasdaq's Rules. For purposes of this Rule:

(1) references to "NASD Rules" shall be construed as references to "Nasdaq Rules",

(2) references to NASD Rule 3013 and Rule 2110 shall be construed as references to General 9, Sections 1 and 22,

(3) references to "NASD members" shall be construed as references to "Nasdaq Members",

(4) references to "the NASD Board of Governors" shall be construed as references to "the Board of Directors of The Nasdaq Stock Market LLC", and

(5) references to "MSRB rules" shall be deleted.]

Section 23. Outside Business Activities of an Associated Person

(a) Nasdaq Members and persons associated with a member shall comply with [NASD]FINRA Rule [3030]3270 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule, references to Rule [3040]3280 shall be construed as references to General 9, Section [23]24.

Section 24. Private Securities Transactions of an Associated Person

(a) Nasdaq Members and persons associated with a member shall comply with [NASD]FINRA Rule [3040]3280 as if such Rule were part of Nasdaq's Rules.

(b) For purposes of this Rule:

(1) references to Rule [3050]3210 shall be construed as references to General 9, Section [24]25, and

(2) references to "immediate[ly] family members (as defined in Rule [2790]5130)" shall be construed to mean a person's parents, mother-in-law or father-in-law, spouse, brother or sister, brother-in-law or sister-in-law, son-in-law or daughter-in-law, and children, and any other individual to whom the person provides material support.

Section 25. Transactions for or by Associated Persons

Nasdaq Members and persons associated with a member shall comply with [NASD]FINRA Rule [3050]3210 as if such Rule were part of Nasdaq's Rules.

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Section 31. Use of Information Obtained in Fiduciary Capacity

Nasdaq Members shall comply with [NASD]FINRA Rule [3120]2060 as if such Rule were part of Nasdaq's Rules.

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Section 33. Reporting Requirements for Clearing Firms

(a) Nasdaq Members shall comply with [NASD]FINRA Rule [3150]4540 as if such Rule were part of Nasdaq's Rules. Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with [Nasdaq Rule 3150]General 9, Section 33 by complying with [NASD]FINRA Rule [3150]4540 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under [Nasdaq Rule 3150]General 9, Section 33 are being performed by FINRA on behalf of Nasdaq.

(b) No change.

(c) Exemptive Relief.

(1) Upon written request for exemptive relief pursuant to [General 5, Section 2]the Rule 9600 Series, Nasdaq generally will grant an exemption from the reporting requirements of [Rule 3150]General 9, Section 33 to a self-clearing firm that:

(A) – (C) No change.

(2) No change.

(3) Any self-clearing firm that, due to a change in the facts pertaining to the operation and nature of its business or the operation and nature of the business of a firm for which it clears, as applicable, no longer qualifies for an exemption previously granted by Nasdaq from the reporting requirements of [Rule 3150]General 9, Section 33 must promptly report such change in circumstances to Nasdaq and [NASD]FINRA, Department of Member Regulation, and commence compliance with the reporting requirements of [Rule 3150]General 9, Section 33.

Section 34. Extensions of Time Under Regulation T and SEC Rule 15c3-3

A member designated to Nasdaq for oversight pursuant to SEC Rule 17d-1 shall comply with [NASD]FINRA Rule [3160]4230 as if such Rule were part of Nasdaq's Rules. Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with [Nasdaq Rule 3160]General 9, Section 34 by complying with [NASD]FINRA Rule [3160]4230 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under [Nasdaq Rule 3160]General 9, Section 34 are being performed by FINRA on behalf of Nasdaq.

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Section 38. Margin Requirements

(a) No change.

(b) A member designated to Nasdaq for oversight pursuant to SEC Rule 17d-1 shall comply with the initial and maintenance margin requirements of Regulation T and the [NASD]FINRA Rule [2520]4210 as if such Rules were part of Nasdaq's Rules.

(c) Nasdaq and FINRA are parties to the Regulatory Contract pursuant to which FINRA has agreed to perform certain functions on behalf of Nasdaq. Therefore, Nasdaq members are complying with this Rule by complying with [NASD]FINRA Rule [2520]4210 as written, including, for example, filing requirements and notifications. In addition, functions performed by FINRA, FINRA departments, and FINRA staff under this Rule are being performed by FINRA on Nasdaq's behalf.

(d) Pursuant to [General 5, Section 2]the Rule 9600 Series, Nasdaq may exempt any member from the requirements contained in paragraph (e)(3) of [NASD]FINRA Rule [2520]4210, as applied to Nasdaq members through this Rule, if the account

referenced in paragraph (e)(3) of [NASD]FINRA Rule [2520]4210 is confined exclusively to transactions and positions in exempted securities.

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Section 45. Customer Account Information

(a) No change.

(b) For purposes of this Rule:

(1) references to [NASD]Rule [2510]3260 [(or any successor FINRA rule)]shall be construed as references to General 9, Section [18]19;

(2) references to Rules 2070, 2090, and 4512 shall be construed as references to General 9, Sections 29, 10, [and 28]and this Rule, respectively;

(3) – (4) No change.

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Section 47. Approval and Documentation of Changes in Account Name or Designation

(a) No change.

(b) For purposes of this Rule, references to [NASD]Rule [2510]3260 [(or any successor FINRA rule)]shall be construed as references to General 9, Section [18]19.

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Section 49. Payments Involving Publications that Influence the Market Price of a Security

(a) No change.

(b) The prohibitions in paragraph (a) shall not apply to compensation paid to a person in connection with the publication or circulation of:

(1) – (2) No change.

(3) a research report, as that term is defined in [NASD]FINRA Rule [2711]2241.

[FINRA is in the process of consolidating certain NASD rules into a new FINRA rulebook. If the provisions of NASD Rule 2711 are transferred into the FINRA rulebook, then Rule 2711 shall be construed to require Exchange members to comply with the FINRA rule corresponding to NASD Rule 2711 (regardless of whether such rule is renumbered or amended) as if such rule were part of the Rules of the Exchange.]

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Equity 7 Pricing Schedule

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Section 111. Nasdaq SIP: Nasdaq Level 1 Service

(a) The charge to be paid by the subscriber for each terminal receiving Nasdaq Level 1 Service is \$20 per month. This Service includes the following data:

(1) No change.

(2) last sale information on Nasdaq-listed securities; and Nasdaq Level 1 Service also includes inside/bid ask quotations calculated for securities quoted in the [NASD]FINRA's OTC Bulletin Board (OTCBB), individual quotations or indications of interest of broker/dealers utilizing the [NASD]FINRA's OTCBB service, and last sale information for securities classified as non-exchange listed securities under [the NASD]FINRA's [6600]6400 Rule Series. Pursuant to an OTCBB and OTC Equities Transfer and Services Agreement, [NASD]FINRA has outsourced the operation of the [NASD]FINRA's OTCBB service to Nasdaq.

(b) No change.

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