New text is underlined; deleted text is in brackets.

Nasdaq MRX Rulebook

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Options Rules

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Options 7 Pricing Schedule

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Section 5. Legal & Regulatory

A. Options Regulatory Fee

The ORF is $0.0004 per contract side as of February 1, 2019.

The Options Regulatory Fee (“ORF”) is assessed by MRX to each MRX Member for options transactions cleared by The Options Clearing Corporation (“OCC”) in the customer range where: (1) the execution occurs on MRX or (2) the execution occurs on another exchange and is cleared by a MRX Member. The ORF is collected by OCC on behalf of MRX from (1) MRX clearing members for all customer transactions they clear or (2) non-members for all customer transactions they clear that were executed on MRX. MRX uses reports from OCC when assessing and collecting ORF. The Exchange will notify Members via an Options Trader Alert of any change in the amount of the fee at least 30 calendar days prior to the effective date of the change.

[A]B. FINRA Web CRD Fees

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