

Processor Disclosure Form

The Processors of the Consolidated Tape Association (“CTA”) and Unlisted Trading Privileges (“UTP”) Plans are charged with collecting, processing and preparing for the distribution or publication of CTA and UTP Plan information. To enhance transparency in Plan operations, the Processors submit the following voluntary disclosures.

The Processors intend to update these disclosures annually, or whenever there is a material change to any disclosure, whichever is sooner.

Name of Processor	Date of Disclosure
The NASDAQ Stock Market, LLC (“CSS”)	05-Apr-2019

1	Is the Processor affiliated with any Participant?	If “Yes,” which Participant?				
	No	Yes	<input type="checkbox"/> Cboe BYX Exchange, Inc	<input type="checkbox"/> Cboe BZX Exchange, Inc.	<input type="checkbox"/> Cboe EDGA Exchange, Inc.	<input type="checkbox"/> Cboe EDGX Exchange, Inc.
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/> Cboe Exchange, Inc.	<input type="checkbox"/> Financial Industry Regulatory Authority, Inc.	<input type="checkbox"/> Investors' Exchange LLC	<input checked="" type="checkbox"/> Nasdaq BX, Inc.
			<input checked="" type="checkbox"/> Nasdaq ISE, LLC	<input checked="" type="checkbox"/> Nasdaq PHLX LLC	<input checked="" type="checkbox"/> Nasdaq Stock Market LLC	<input type="checkbox"/> New York Stock Exchange LLC
			<input type="checkbox"/> NYSE American LLC	<input type="checkbox"/> NYSE Arca, Inc.	<input type="checkbox"/> NYSE Chicago, Inc.	<input type="checkbox"/> NYSE National, Inc.

2	Please provide a narrative description of the functions directly performed by the manager employed by the Processor to provide Processor services to the Plan and the staff that reports to that manager (collectively, the “Plan Processor”)
	<p>Description of functions</p> <p>The US regional manager of Nasdaq Market Technology customers in the Americas will have oversight on all business decisions with respect to the performance of the UTP SIP. Additionally reporting to US regional manager is the lead product/project manager responsible for the business relationship between Nasdaq Market Technology and UTP Participants, includes but not limited to discussions with UTP Plan participants related to the functionality and enhancements requested by the UTP Plan Participants.</p>

3	Does the Plan Processor provide any service(s) for any Participant’s Proprietary Market Data products or other Plans?	If “Yes”:	
	No	Yes	What service(s) and which Plan(s)?
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Name(s) of services and Plan(s)
			Any profit/loss responsibility for such Proprietary Market Data?
			No
			Yes
			<input checked="" type="checkbox"/>
			<input type="checkbox"/>

4	List the policies and procedures established to safeguard confidential Plan information that is applicable to Processor
	<p>Policies and Procedures</p> <p>The Processor and Administrator have created a confidential information policy to protect the UTP information. The Processor and Administrator also follow the general information security policies established by Nasdaq.</p>