

APPENDIX A
NATIONAL MARKET SYSTEM PLAN
FOR THE SELECTION AND RESERVATION OF SECURITIES SYMBOLS

The self-regulatory organizations (“SROs”) named below as the parties to this Plan (as defined below), and any other SROs that may subsequently become parties to this Plan, maintain facilities for the quoting and trade reporting of securities that: (i) are NMS securities as currently defined in Rule 600(a)(46) under the Securities Exchange Act of 1934; and (ii) any other equity securities quoted, traded and/or trade reported through an SRO facility (collectively, “Plan Securities”). These SROs have determined that in order to enhance the effectiveness and efficiency of the national market system and to provide for the fair competition between the SROs, they should establish a uniform system for the selection and reservation of securities symbols (the “Symbol Reservation System”). These SROs therefore have jointly developed and agreed upon the following Plan for this purpose, and have agreed to file it with the Securities and Exchange Commission (“Commission”) as a national market system plan in accordance with and subject to Rule 608 under the Securities Exchange Act of 1934, as amended (the “Exchange Act”). The term “Plan” as used herein shall mean this plan as from time to time amended in accordance with the provisions hereof. As of 175 days from the Commission's approval of this Plan, this Plan will be the exclusive means of allocating and using symbols of 1, 2, 3, 4, or 5 characters in length, and there will be no difference between capital and lowercase letters under this Plan.

The Intermarket Symbols Reservation Authority (“ISRA”) shall mean the parties to the Plan acting jointly pursuant to the terms of the Plan. Pursuant to Section 11A(a)(3)(B) of the Exchange Act, the Commission's approval of the Plan and any amendments thereto shall authorize and require the parties to the Plan to act jointly with respect to matters as to which they share authority hereunder in planning, developing and operating the systems and facilities used for this purpose, provided that such joint action shall be limited to circumstances in which it is necessary in order to fulfill the purposes and objectives as stated in the Plan.

I. Parties

- (a) The parties to the Plan are the following SROs:

BOX Exchange LLC (“BOX”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 101 Arch Street, Suite 610, Boston, Massachusetts 02110.

Cboe BZX Exchange, Inc. (“Cboe BZX”), registered as a national securities Exchange under the Exchange Act and having its principal place of business at 400 South LaSalle Street, Chicago, IL 60605.

Cboe EDGA Exchange, Inc. (“Cboe EDGA”), registered as a national securities Exchange under the Exchange Act, and having its principal place of business at 400 South LaSalle Street, Chicago, IL 60605.

Cboe EDGX Exchange, Inc. (“Cboe EDGX”), registered as a national securities Exchange under the Exchange Act, and having its principal place of business at 400 South LaSalle Street, Chicago, IL 60605.

Cboe Exchange, Inc. (“Cboe”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 400 South LaSalle Street, Chicago, IL 60605.

Financial Industry Regulatory Authority, Inc., registered as a national securities association under the Exchange Act and having its principal place of business at 1735 K Street, N.W., Washington, D.C. 20006.

Investors Exchange LLC (“IEX”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 3 World Trade Center, 58th Floor, New York, New York 10007.

Long-Term Stock Exchange, Inc. (“LTSE”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 101 Greenwich Street, Suite 11A, New York, NY 10006.

MEMX LLC (“MEMX”) registered as a national securities exchange under the Exchange Act and having its principal place of business at 111 Town Square Place, Suite 520, Jersey City, NJ 07310.

Miami International Securities Exchange, LLC (“MIAX”) registered as a national securities exchange under the Exchange Act and having its principal place of business at 7 Roszel Road, Princeton, NJ 08540.

MIAX PEARL, LLC (“MIAX PEARL”) registered as a national securities exchange under the Exchange Act and having its principal place of business at 7 Roszel Road, 1A, Princeton, NJ 08540.

Nasdaq BX, Inc. (“BX”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 100 Franklin Street, Boston, MA 02110.

Nasdaq ISE, LLC (“ISE”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 60 Broad Street, New York, New York 10004.

Nasdaq PHLX LLC (“PHLX”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 1900 Market Street, Philadelphia, Pennsylvania 19103.

The Nasdaq Stock Market LLC (“NASDAQ”) registered as a national securities exchange under the Exchange Act and having its principal place of business at One Liberty Plaza, New York, N.Y., 10006.

New York Stock Exchange LLC (“NYSE”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 11 Wall Street, New York, New York 10005.

NYSE American LLC (“NYSEAMER”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 11 Wall Street, New York, New York 10005.

NYSE Arca, Inc. (“NYSE Arca”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 11 Wall Street, New York, New York 10005.

NYSE Chicago, Inc. (“NYSECHX”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 11 Wall Street, New York, New York 10005.

NYSE National, Inc. (“NYSENAT”), registered as a national securities exchange under the Exchange Act and having its principal place of business at 11 Wall Street, New York, New York 10005.

(b) Each of the parties represents to the other parties that (i) at any time it seeks to reserve symbols using 1, 2 or 3 characters, it will have the actual technical and physical capability through its facilities to immediately quote and trade report in Plan Securities using 1, 2 or 3 characters, and (ii) at any time it seeks to reserve symbols using 4 or 5 letter characters, it will have the actual technical and physical capability through its facilities to immediately quote and trade report trades in Plan Securities using 4 or 5 characters. This Plan shall not apply in any respect to any suffix or special conditional identifier that may follow a “root” symbol of 1, 2, 3, 4 or 5 characters in length.

(c) Any other SRO that maintains a market for the listing or trading of Plan Securities, in accordance with rules approved by the Commission, which securities are identified by one, two or three character symbols, on the one hand, or four or five character symbols, on the other hand, in each case prior to any suffix or special conditional identifier (“Applicant”), may become a party to the Plan. An Applicant may become a party to the Plan by signing a current copy of the Plan, providing a copy to the Commission, and becoming a party to any contract required pursuant to Section III below with the Processor (as defined in Section III below).

(d) Subject to Section VII below concerning the continuing liability of former parties for certain obligations under the Plan, an SRO that is a party to the Plan shall cease to be a party at such time as it ceases to maintain a facility for the quoting and trade reporting of securities transactions or ceases to use symbols subject to the

Plan, unless such SRO asks to continue as a party and the other parties to the Plan, by a majority vote, approve such SRO to continue as a party.

II. Administration of ISRA

(a) ISRA Policy Committee. ISRA shall be administered by a Policy Committee, which shall be constituted as provided in paragraph II(c), below.

(b) Authority of Policy Committee. Except as otherwise expressly provided in the Plan, the ISRA Policy Committee shall make all policy decisions on behalf of ISRA in furtherance of the functions and objectives of ISRA under the Exchange Act and under the Plan, including but not limited to the following:

(1) overseeing the operation of the Symbol Reservation System and making all administrative decisions necessary with respect to the operation of the system in accordance with the Plan;

(2) making all determinations pertaining to contracts with parties to the Plan or with other persons who provide goods or services to ISRA;

(3) determining all other questions pertaining to the planning, developing and operating of ISRA, including those pertaining to budgetary or financial matters.

(c) Composition and Selection of Policy Committee. The Policy Committee shall consist of one voting member representing each party and one alternate voting member representing each party, with each alternate having a right to vote only in the absence of that party's voting member. Each of the voting and alternate voting members of the Policy Committee shall be appointed by the party that he or she represents, and shall serve at the will of the party appointing such member.

(d) Action of Policy Committee. Each of the parties shall have one vote on all matters voted upon by the Policy Committee and, except as otherwise provided herein, action of ISRA under the Plan shall be authorized by the affirmative vote of a majority of the members of the Policy Committee, subject to the approval of the Commission whenever such approval is required under applicable provisions of the Exchange Act and the rules of the Commission thereunder. Action authorized in accordance with the Plan shall be binding upon all of the parties, without prejudice to the rights of any party to present contrary views to any regulatory body or in any other appropriate forum.

(e) Meetings of the Policy Committee. Regular meetings of the Policy Committee may be attended by each party's voting representative or alternate voting representative, by one or more nonvoting representatives of the parties, and by such other persons that the Committee may invite to attend. Meetings of the Policy Committee shall be held at least annually and at such other times as shall from time to time be determined by the Policy Committee, on not less than ten (10) business days'

notice. Special meetings of the Policy Committee may be called upon the request of two or more parties on not less than two (2) business days' notice. At each meeting of the Policy Committee, the Committee shall designate one of the representatives of the parties to preside as Chairman of the meeting and shall designate a person in attendance to act as Secretary to record the minutes thereof. The location of the regular and special meetings of the Policy Committee shall be determined by the Committee. Members of the Policy Committee may be present at a meeting by conference telephone or other electronic means that enables each of them to hear and be heard by all others present at the meeting, and action may be taken without a meeting if all of the members entitled to vote consent thereto in writing.

III. Performance of Functions

As determined by its Policy Committee, ISRA will delegate the operation of the Symbol Reservation System to an independent third party (the "Processor"), and will enter into contracts with such party describing the functions to be performed by it and the service levels and other terms related thereto. The Processor shall be required to agree that any nonpublic information that becomes known to it shall be held in confidence, except as it may be shared with the Commission or other appropriate governmental regulatory authorities or as otherwise required by applicable law.

IV. The Symbol Reservation System

(a) Scope of the Symbol Reservation System. The Symbol Reservation System shall cover the allocation of all symbols used to identify Plan Securities. This Plan covers only the "root" symbol to be disseminated, which is the one through five character symbol, in each case prior to any suffix or special conditional identifier.

(b) Reservation and Use of Symbols.

(1) Submission of Reservation Requests. A party may request a symbol for: (i) the listing of common stock or any other security, including options; (ii) with respect to four- and five-character symbols, the trading of any security over-the-counter; (iii) the dissemination of a securities index or other index information; or (iv) any other purpose authorized by a majority vote of the parties. However, no party may reserve or use a 1, 2 or 3 character symbol for a security not listed on a national securities exchange. Requests may be for perpetual as well as limited-time reservations as specified below.

(A) Perpetual Reservations. A party that has a list of perpetual reservations ("List A reservations") shall have its List A reservations released effective 30 calendar days following the date of the amendment to the Plan approved by the Commission on [insert date of the Commission's approval of this amendment], except for those symbols which are used only for the purpose of system testing ("Test Symbols"). No new List A reservations shall

be made, and parties shall not maintain a List A reservation, except for the purpose of reserving Test Symbols.

(B) Limited-Time Reservations. A party may submit requests to reserve symbols for a limited time period (“List B reservations”). A separate List B shall be maintained for symbols using one, two or three characters, on the one hand, and symbols using four or five characters, on the other hand, and this Plan shall be applied separately to each List B. Symbols under the two lists are not interchangeable for any purpose under this Plan. With respect to symbols using one, two or three characters each party may have a total of up to 2,500 List B reservations at any given time. With respect to symbols using four or five characters, each party may have up to a total of 2,500 List B reservations. A party's permitted List B reservations shall be for 24 months. A party requesting to reserve more symbols than permitted pursuant to this paragraph must place its List B reservation requests in priority ranking. Notwithstanding anything else herein this sub-paragraph (B), (i) no party shall make a List B reservation request with respect to a particular symbol unless said party has a reasonable basis to believe it will utilize such symbol within the next 24 months; (ii) all List B reservation requests made by a party for non-exchange traded products must be made in connection with the potential listing of a security on such party at the request of the issuer (or an agent of the issuer) of such security, and the reserving party must confidentially indicate the potential listing in the Symbol Reservation System and maintain documentation demonstrating that it has a reasonable basis to believe it will utilize such symbol for the listing of such security within the next 24 months; (iii) all List B reservation requests made by a party for exchange traded products must be made at the request of the issuer (or an agent of the issuer) of such security; (iv) the party shall release the symbol if it no longer reasonably believes that the issuer will list a security using the symbol; and (v) a party shall not reserve more than one symbol per potential security listing that is not an exchange traded product. For the avoidance of doubt, if an issuer has multiple potential securities (e.g., an issuer of exchange-traded products or an operating company listing several classes of securities), the party may reserve multiple symbols at the request of the issuer so long as all other requirements set forth herein are met.

(2) The Processing of Initial Reservation Requests.

(A) If only one party claims that it had a symbol properly “reserved” prior to the original effective date (November 6, 2008) of this Plan (a “Legacy Reservation”), the Processor shall reserve such symbol for that party, provided that party represents it has a reasonable basis to believe it will utilize such symbol within the next six (6) months. Legacy Reservations shall

not be counted as List A or List B reservations for the purposes of sub-paragraphs(1)(A) and (1)(B) of this Section. Should the relevant party not use a symbol that is the subject of a Legacy Reservation within the six (6) month period, said symbol shall be released by the Processor pursuant to paragraph 5 below, provided that a party may request an extension of a Legacy Reservation for an additional six (6) month period provided said party has a reasonable basis to believe it will utilize such symbol within that period. If not so used within that period, said symbol shall be released by the Processor pursuant to paragraph 5 below.

(B) If multiple parties meeting the requirements of sub-paragraph (A) above claim to have properly reserved a symbol prior to the Commission's original approval of this Plan (November 6, 2008), the Processor shall notify all parties making such claims of that fact, whereupon such parties shall have five business days in which to reach a mutually acceptable agreement as to which party shall be permitted to reserve such symbol. If the parties fail to reach agreement during such period, then the Policy Committee shall resolve such conflicting claims (in favor of the party with the earliest proper claim to such symbol, if that fact can be determined) by a majority vote of the parties not claiming such symbol, it being understood that proper reservation of a symbol includes reservation under the reservation system in effect prior to the original adoption of this Plan (November 6, 2008). The Policy Committee shall provide each such party the opportunity to provide evidence of how and when it reserved such symbol, and the members of the Policy Committee who vote in these matters shall in good faith consider such evidence in reaching their decision. In the event of a tie vote, the Policy Committee shall establish a random order of the parties to determine which party may reserve the symbol.

(C) If only one party seeks to reserve a symbol that no party has properly reserved prior to the Commission's original approval of this Plan (November 6, 2008), then the Processor shall reserve that symbol for that party.

(D) If multiple parties seek to reserve a symbol, but no such party claims to have properly reserved the symbol prior to the Commission's original approval of this Plan (November 6, 2008), then the Processor shall reserve such symbol pursuant to a random ordering of the parties that the Policy Committee shall establish.

(E) If a party requests a symbol that is not available because the symbol is in use or has properly been reserved by another party, the Processor will place all such parties on a waiting list for the symbol pursuant to paragraph (c) below.

(F) Using this methodology, the Processor will reserve for a party all requested symbols up to the limits specified above for List B based on the requesting party's priority ranking.

(3) Reservations. A party may submit to the Processor a request for a List B reservation of one or more symbols as follows:

(A) If a requested symbol is available the Processor will reserve the symbol for the requesting party if at that time it does not hold the maximum number of List B reservations available to it. If necessary to stay within the maximum number of reservations permitted under subparagraph (1)(B) above, the party must provide the Processor with a List B symbol to release upon reservation of the new symbol.

(B) If a requested symbol is not available either because it is in use or because another party has reserved the symbol, the Processor will place the party on the waiting list pursuant to paragraph (c) below.

(C) For the avoidance of doubt, no party shall make a List B reservation request with respect to a particular symbol at any time unless said reservation would meet the requirements set forth in (i) - (v) under subparagraph (1)(B) above.

(4) Notice of Use of Reserved Symbols. A party shall notify the Processor when it begins to use a reserved symbol.

(5) Non-Use or Release of Symbols Within Time Period. If a symbol reserved on List B is not used within the specified 24 month time limit, the Processor shall release the symbol. In addition, a party at any time may voluntarily release a reserved symbol by so notifying the Processor. In either case, the Processor shall make the symbol available for reservation to those parties on the waiting list pursuant to subparagraph (c)(2) below. If there is no waiting list for the symbol, or if no party on such list decides to reserve the symbol, the Processor shall give reasonable notice to all parties of the availability of the symbol, and any party may request the reservation of such symbol. If more than one party requests the reservation of such symbol within two business days of such notice, the Processor shall assign the symbol to one such party and shall place the other parties on the waiting list pursuant to a random order of priority that the Policy Committee shall establish. If necessary to stay within the maximum number of reservations permitted under subparagraph (1)(B) above, the requesting party must voluntarily release a symbol, as described in subparagraph (3)(A) above, before it can reserve the assigned symbol.

(6) Request for Release of a Symbol.

If a party has an immediate need to use a symbol that another party reserved, it can ask (i) the party that has the symbol reserved and (ii) any other parties on the waiting list with priority over the requesting party whether such parties are willing to release such symbols. If any such party does not agree to the release, the then-current reservation and waiting list priority shall remain unchanged. If all such parties agree to the release, then the requesting party may include such symbol as one of its List B

reservations for 24 months. If necessary to stay within the maximum number of reservations permitted under subparagraph (1)(B) above, the requesting party must voluntarily release a symbol, as detailed in subparagraph (3)(A) above, before it can reserve the requested symbol. If the requesting party does not use the symbol within 24 months, absent the consent of all the parties initially required to be contacted, the reservation and waiting list priority in effect when the requesting party first made its request shall again be in force.

(c) Waiting List.

(1) Placing a Party on a Waiting List. If one or more parties request to reserve a symbol that it or another party has under reservation, the Processor shall place such parties on a waiting list for such symbol. The parties shall be prioritized on the waiting list based on the earliest time that each requested the reservation from the Processor, provided, however, that if more than one party seeks to use a symbol already in use within two business days of notice of a symbol's availability under subparagraph (b)(5) above, the Policy Committee shall establish a random order of those parties to determine priority on the waiting list.

(2) Availability of Symbols. Subject to paragraph (d) below, if a symbol becomes available for any reason, the Processor shall provide the party with time priority on the waiting list as to that symbol with notice of such availability. Such party shall have two business days to reserve the symbol. If the party with priority does not reserve the symbol, the Processor shall repeat this process as needed with all parties on the waiting in the order of their priority. If necessary to stay within the maximum number of reservations permitted under subparagraph (b)(1)(B) above, the reserving party must voluntarily release or redesignate a symbol, as detailed in subparagraph (b)(3)(A) above, before it can reserve the requested symbol.

(3) Waiting List Limits. No party may be on the waiting list for more than 100 symbols at any given time. For the avoidance of doubt, no party shall be on the waiting list with respect to a particular symbol at any time unless the requested waiting list reservation would meet the requirements set forth in (i) - (v) under subparagraph (b)(1)(B) above.

(d) Reuse of a Symbol. Subject to paragraph (f) below, if a party ceases to use a symbol (due, for example, but not limited to, the delisting of a security through merger or otherwise), such party may elect to release the symbol pursuant to subparagraph (b)(5) above. If such party does not release the symbol, it shall automatically have that symbol reserved for a period of 24 months, notwithstanding any other limits on the number of reserved symbols specified in this plan. A symbol, nonetheless, may not be reused to identify a new security (other than the security that has been trading under such symbol) within 90 calendar days from the last day of its use to identify the old security, without the consent of the party that released the symbol pursuant to subparagraph (b)(5) above. A party may not reuse (or consent to the reuse

of) a symbol to identify a new security unless the party reasonably determines that such use would not cause investor confusion.

(e) Database. The Processor shall create and maintain a symbol reservation database (“Database”). All parties and the Commission (but no other person) shall have access to the Database except to the extent required by applicable law. The Database shall show:

(1) All symbols that are currently in use, identifying the party using a symbol;

(2) All symbols that are reserved on Lists A and B (separately for symbols using one, two or three characters on the one hand, and four or five characters on the other hand), including the party reserving each symbol and the date on which List B reservations will lapse if the symbol is not used; and

(3) Whether there is a waiting list for a symbol, and if so, the identities and priorities of the parties on the waiting list.

(f) Portability of Symbols.

(1) If an SRO (a “New SRO”) lists a security or product that previously was listed on another SRO (a “Former SRO”) immediately prior to listing on the New SRO, the New SRO shall have the rights to that symbol unless, in the New SRO’s sole discretion, it consents to the symbol being retained by the Former SRO, provided however, that such Former SRO shall not reuse that symbol to identify a new security or product unless the Former SRO, in its sole discretion, reasonably determines that such use would not cause investor confusion.

(2) If an SRO reserves a symbol pursuant to subsection (b)(1)(B) for a specific security or product of an issuer, and the issuer of the security or product decides to list on a different SRO (the “Listing SRO”) during the period that the reservation is in effect, the Listing SRO shall have the rights to that symbol unless, in the Listing SRO’s sole discretion, it consents to the reserving SRO retaining the symbol on its reservation List B.

V. Financial Matters.

(a) Initial Development Costs. The parties will share the initial development costs pro-rata based on the number of symbols initially reserved by each party pursuant to Section IV, paragraph B(1) hereof. Any new party that joins plan shall be liable for a pro-rata portion of the initial development costs based upon the number of symbols reserved by said party during the first twelve (12) months of such party's membership.

(b) Continuing Costs. Costs and expenses of ISRA (other than development costs) will be shared among the parties pro-rata based on the number of additional

symbols reserved in each calendar year, estimated quarterly. Notwithstanding the foregoing, the Policy Committee may devise alternative cost- allocation methodology with respect to special non-initial development projects.

VI. Confidentiality

The Processor will maintain in the strictest confidence all of the information it receives from the parties. The only information the Processor will make available to the parties is the Database. The Processor will not make the Database available to any person other than the parties or the Commission, except to the extent required by applicable law.

VII. Term of Plan Withdrawal: Non-transferability of Rights Under the Plan

The Plan shall remain in effect so long as there are two or more parties to the Plan. Any party may withdraw from the Plan at any time on not less than six months prior written notice to each of the other parties. Any party withdrawing from the Plan shall remain liable for its proportionate share of costs and expenses allocated to it pursuant to Section V above for the period during which it was a party, but it shall have no further obligations under the Plan or to any of the other parties with respect to the period following the effectiveness of its withdrawal. The right of a party to participate in the Symbol Reservation System under the Plan shall not be transferable without the consent of the other parties, provided, however, that if a party is subject to a merger, combination or other reorganization or the sale of all or substantially all of its assets, including its registration as an SRO, the surviving or acquiring entity shall automatically become subject to the Plan and may use the Symbol Reservation System in the stead of the prior party and with its rights and subject to its liabilities under the Plan.

VIII. Amendments to the Plan

The Plan may be amended from time to time when authorized by the affirmative vote of all of the parties subject to any required approval of the Commission.

IX. Applicability of Exchange Act

The rights and obligations of the parties to the Plan shall at all times be subject to any applicable provisions of the Exchange Act and any rules and regulations promulgated hereunder.

X. Notices

Any notice given to any of the parties or to ISRA for purposes of the Plan shall be via electronic mail. All notices shall be deemed given immediately, unless the sender receives notification of a failure to deliver the electronic mail. Alternatively, a party may give notice in writing, and shall be deemed given 48 hours after being sent if sent by prepaid registered or certified United States mail, return receipt requested (if available), or by overnight mail with a nationally recognized overnight mail courier, addressed to the party at its address indicated below in the case of notice to one or more parties, or addressed to all of the parties at their addresses listed in Section I above.

XI. Counterparts and Signatures

The Plan may be executed in any number of counterparts, no one of which need contain all signatures of all Participants, and as many of such counterparts as shall together contain all such signatures shall constitute one and the same instrument.

IN WITNESS WHEREOF, this Plan has been executed as of the 11th day of February, 2022 by each of the parties hereto.

BOX EXCHANGE LLC

CBOE BZX EXCHANGE, INC.

CBOE EXCHANGE, INC.

CBOE EDGA EXCHANGE, INC.

CBOE EDGX EXCHANGE, INC.

FINANCIAL INDUSTRY
REGULATORY AUTHORITY, INC.

NASDAQ ISE, LLC

INVESTORS EXCHANGE LLC

MIAMI INTERNATIONAL
SECURITIES EXCHANGE, LLC

NASDAQ BX, INC.

NASDAQ PHLX, INC.

NASDAQ STOCK MARKET LLC

NYSE NATIONAL, INC.

NEW YORK STOCK EXCHANGE
LLC

NYSE American LLC

NYSE ARCA, INC.

NYSE CHICAGO, INC.

LONG-TERM STOCK EXCHANGE,
INC.

MEMX LLC

MIAX PEARL, LLC