Memorandum

TO: Nasdaq PHLX Trading Floor Members and personnel
FROM: Dana Rutherford
DATE: November 23, 2020
RE: Mandatory COVID-19 Testing

Due to the recent COVID-19 positive tests results received from our Trading Floor population, Nasdaq will begin to institute mandatory COVID-19 testing beginning tomorrow afternoon, as outlined below. Thank you for your patience as we prepare these protocols and fine-tune them over the next several weeks.

In order to be permitted access to the Trading Floor, each member must now be able to demonstrate proof of a negative COVID-19 test result on a weekly basis. Test results should be provided to Nasdaq Security. Nasdaq will not permit any floor member or employee onto the Trading Floor without a negative COVID-19 test result within the last 7 calendar days, beginning this Wednesday morning, November 25th, and each week thereafter.

For convenience, Nasdaq will offer appointments for complimentary COVID-19 testing on the below dates and times:

- Tuesday, November 24, 2020 - 4:00 PM EST until 6:00 PM EST
- Wednesday, November 25, 2020 - 7:00 AM EST until 9:00 AM EST

You must make an appointment to participate in the Nasdaq-supplied testing, and will be scheduled on a first come, first served basis. To schedule an appointment, please email Dana.rutherford@nasdaq.com. Appointments will be available every fifteen minutes during the above time slots.

This week, Trading Floor Members and personnel are not required to have testing administered through Nasdaq. Floor Members may obtain testing from any COVID-19 certified provider, as long as they can show adequate documentation to Nasdaq Security upon entry into the office. Therefore, if you have already been tested between November 18, 2020 and November 25, 2020, and can provide evidence of
a negative result from that test, you will be allowed entry onto the Trading Floor on November 25th and for the remainder of this week.

Our main priority is to keep our Trading Floor population safe. As soon as possible, we will send out additional information detailing Nasdaq’s new COVID-19 testing schedule for future weeks. We are working to create procedures as we continue to maintain the safety of our Trading Floor population. As a reminder, if you are feeling sick at any time, whether experiencing any symptoms of COVID-19 or not, you should not come to the office. All other pre-entry protocols (including the Daily Check-in and temperature screenings), as well as all other on-floor protocols, continue to remain in place.

If you have any questions concerning the above (other than to make an appointment, which should be by email only), please contact Dana Rutherford at 215-496-1564.