Nasdaq Phlx COVID-19 Floor Participant Manual

Updated: February 18, 2022

Nasdaq has placed the following protocols in place for entry requirements to the Nasdaq Phlx LLC (“Phlx”) Trading Floor located at 2929 Walnut Street, Philadelphia, PA 19104 (the “Premises”). These protocols are for market makers, floor brokers and clerks, and member organizations of Phlx (collectively referred to as “Floor Participants”) utilizing the Premises.

Floor Participants must understand the need to adhere to the Commonwealth of Pennsylvania (“Commonwealth”) and local authorities, with regard to any and all public health orders and other regulations and restrictions, as may be updated from time to time.

1. Pre-Entry Requirements

   a) Floor Participants must accurately and honestly complete a Daily Check-In certification process prior to beginning their commute to Phlx every workday.

      i. Floor Participants who receive a “Green Light” may proceed to commute to the Premises.

      ii. Floor Participants who receive a “Red Light” must immediately notify Phlx staff by phone, email at People@nasdaq.com, or text. This allows Phlx to be aware of the entry bar for that day, in order to determine when future entry will be permitted based on Commonwealth and Phlx guidelines in effect at that time.

   b) Floor Participants must not attempt to enter the Premises if they are experiencing any of the following symptoms:

      - Cough
      - Shortness of breath or difficulty breathing
      - Fever (100.4°F / 38°C or higher)
      - Chills
      - Muscle pain
      - Sore throat
      - New loss of taste or smell

   c) Floor Participants must not attempt to enter the Premises if:

      i. you or a household member had close contact (within 6ft/2m for at least 15 minutes within a 24 hour period) with someone who has had any of the above symptoms or combination of symptoms in the last 10 days;

      ii. you or a household member had close contact (within 6ft/2m for at least 15 minutes within a 24 hour period) with someone who you reasonably believe is infected with COVID-19 or quarantined due to COVID-19 concerns in the past 10 days; or
iii. you or a household member are currently subject to mandatory quarantine under local law due to recent travel or other reasons.

d) Any Floor Participant who does not enter the Premises on any given day because they are experiencing COVID-like symptoms, or because of a medical diagnosis or positive test for COVID-19, should notify People@Nasdaq.com as soon as possible. This will allow Phlx to assess any potential risk to others on the Premises, and notify others if applicable, while respecting the individual privacy of the reporting individual.

2. Entry Protocol

a) Floor Participants must adhere to Phlx entrance and exit protocols in order to access the Premises on a daily basis. Such protocols may change from time to time.

b) If Floor Participant has received a “Green Light” for their Daily Check-In prior to commuting to the Premises, they may enter the main entrance of the building and take the elevator to the 8th Floor lobby, adhering to Landlord requirements regarding elevator occupancy. They may be asked to show their Daily Check-In “Green Light” to a Phlx security guard at any time upon entering the building or 8th Floor.

c) On the 8th Floor, Floor Participant should follow all applicable signs and markings as they approach the security desk area and temperature scanning device, which is located in the hallway approaching this area. They may be asked to announce their name to the security guard prior to screening.

d) Floor Participant should approach the temperature reading equipment when directed to do so by the Phlx security guard, and follow directions to have their temperature scanned.

   o Only Floor Participants with a temperature below 100.4ºF will be granted access.

   o Face coverings must be worn and social distancing must be maintained while awaiting temperature screening.

e) If access is granted, Floor Participant may then proceed to their assigned workstation unless the security guard advises them that their access is denied. Any Floor Participant who leaves the building will be required to pass through the temperature screening protocol to facilitate reentry.

f) If access is denied, Floor Participant should leave the Premises immediately.

   ▪ Floor Participant should notify their own management chain as well as People@Nasdaq.com, and Nasdaq personnel will contact you shortly thereafter to address any contact tracing protocol (while respecting your privacy). Nasdaq will also provide information as soon as possible on when you can return to the worksite, per Section 4(d) below.

   ▪ Any refusal to leave will be treated as trespass.

g) Phlx requires Floor Participants to provide proof that they have been fully vaccinated (14 days since last shot of a two-shot or one-shot regimen) and submit to weekly COVID-19 testing prior to entry onto the Premises.

3. Onsite Requirements

a) Floor Participants must adhere to guidance regarding permitted and non-permitted area designations as indicated by Phlx (e.g., Floor Participants may not access any area marked as restricted).

b) Floor Participants must adhere to all Landlord restrictions and any social distancing controls, including elevator capacity limits.
c) If a Floor Participant begins to experience an onset of any of the above COVID-19 symptoms during the workday, they must immediately evacuate the Premises, and then promptly notify Phlx Correction Post staff of the reason for their departure via phone, text, or email. Phlx will respect and maintain the privacy of the Floor Participant’s identity through all reasonable means.

d) Floor Participants must regularly use hand sanitizer stations and/or sanitizing products available on the Premises at multiple entry points, restrooms, and common areas.

e) Floor Participants must refrain from frivolous discussion regarding COVID-19 related symptoms or other requirements (e.g., “I was just joking around” excuses will not be tolerated).

4. Probable or Confirmed COVID-19 Diagnosis in the Workplace Protocol

a) A Floor Participant will be considered to have a probable case of COVID-19 if that person has symptoms and exposure to a high-risk situation. They will also be considered to have probable case of COVID-19 if they have a positive antibody test and either symptoms or a high-risk exposure.

b) According to the CDC Guidance, these symptoms or combinations of symptoms are associated with COVID-19:

- Cough
- Shortness of breath or difficulty breathing
- Fever (100.4F / 38C or higher)
- Chills
- Muscle pain
- Sore throat
- New loss of taste or smell
- Nausea, vomiting or diarrhea

This list is not all-inclusive.

c) Floor Participants may not return to the workplace until cleared to return to work based on the CDC’s criteria to discontinue home isolation, in consultation with health care providers and state and local health departments. Worksite will also need to be cleaned, per Commonwealth requirements.

d) If the Premises continue to be open, the following Floor Participant’s return to worksite procedures must be followed if a probable diagnosis of COVID-19 occurs (based on CDC guidance, updated 05/03/2020).

- **Symptom-Based Clearance:** If the individual does not get tested for COVID-19, they may return to the worksite upon written certification that the following conditions are met:
  a. At least 3 days (72 hours) have passed since recovery, defined as resolution of fever without the use of fever-reducing medications; and
  b. No or improved respiratory symptoms (e.g., cough, shortness of breath); and
  c. At least ten (10) days have passed since symptoms first appeared.
Test-Based Clearance: If the individual does get tested for COVID-19, they can return to the worksite upon written medical certification that the following conditions are met:

a. Resolution of fever without the use of fever-reducing medications; and
b. No or improved respiratory symptoms (e.g., cough, shortness of breath); and
c. Negative results of an FDA authorized COVID-19 test following a 10-day quarantine, either through Nasdaq weekly testing protocols or through a private health care provider; and
d. Satisfied the Daily Check-in and temperature screening requirements.