

Member or SRO Group: **Investors Exchange LLC (IEX)**

- Is the Member for profit or not-for-profit? **For Profit**
 - If the Member is for profit, is it publicly or privately owned? **Private**
 - If privately owned, list any owner with an interest of 5% or more of the Member, where to the Member's knowledge, such owner, or any affiliate controlling, controlled by, or under common control with the owner, subscribes, directly or through a third-party vendor, to CT Feeds and/or Member PMD products. **IEX Group, Inc. (100% owned)**
- Does the Member offer PDP? **Yes**
 - If yes, list each product, describe its content, and provide a link to where fees for each product are disclosed.
 - **TOPS**
 - **TOPS is an uncompressed data feed that offers aggregated top of book quotations for all displayed orders resting on the Order Book, execution information (i.e., last sale information) for executions on the Exchange, and provides IEX Auction Information for IEX-listed securities.**
 - **Fees for TOPS are detailed here:**
<https://www.iexexchange.io/resources/trading/fee-schedule#market-data-fees>
 - **DEEP**
 - **DEEP is an uncompressed data feed that provides aggregated depth of book quotations for all displayed orders resting on the Order Book at each price level, execution information (i.e., last sale information) for executions on the Exchange, and provides IEX Auction Information for IEX-listed securities.**
 - **Fees for DEEP are detailed here:**
<https://www.iexexchange.io/resources/trading/fee-schedule#market-data-fees>
 - **DEEP+**
 - **DEEP+ is an uncompressed data feed that provides order-by-order depth of book quotations for all displayed orders resting on the Order Book at each price level, and execution information (i.e., last sale information) for executions on the Exchange.**
 - **Fees for DEEP+ are detailed here:**
<https://www.iexexchange.io/resources/trading/fee-schedule#market-data-fees>
 - **DROP**
 - **DROP is an uncompressed data feed that offers information regarding the equities trading activity of a specific Member. DROP is only available to the Member to whom the specific**

data relates and those recipients expressly authorized by the Member.

- **Fees for DROP are detailed here:**
<https://www.iexexchange.io/resources/trading/fee-schedule#market-data-fees>
- **HIST**
 - **Historical Data is a data product that offers historical data.**
 - **Fees for HIST are detailed here:**
<https://www.iexexchange.io/resources/trading/fee-schedule#market-data-fees>
- Provide the names of the Voting Representative, any alternate Voting Representatives designated by the Member, and any Member Observers. Also provide a narrative description of such persons' roles within the Member organization, including the title of each individual as well as any direct responsibilities related to the development, dissemination, sales, or marketing of the Member's PDP, and the nature of those responsibilities sufficient for the public to identify the nature of any potential conflict of interest that could be perceived by a reasonable objective observer as having an effect on the operation of the Company. If such persons work in or with the Member's PDP business, describe such persons' roles and describe how that business and such persons' Company responsibilities impacts their compensation. In addition, describe how such persons' responsibilities with the PDP business may present a conflict of interest with their responsibilities to the Company.
 - Representative: **John Ramsay, Chief Market Policy Officer**
 - **Mr. Ramsay is responsible for developing and communicating IEX's position on market policy issues and acts as the primary IEX representative on the National Market Systems Plans.**
 - PDP responsibility type: **Not Applicable.**
 - Alternative representative: **Nathaniel Kolodny, Lead Regulation Counsel**
 - **Mr. Kolodny is part of IEX Regulation, with responsibility for rule filings, oversight of IEX's regulatory compliance programs and representing IEX on various NMS Plan committees.**
 - PDPP responsibility type: **Not Applicable.**
- Does the Member, its Voting Representative, its alternate Voting Representative, its Member Observers, or any affiliate have additional relationships or material economic interests that could be perceived by a reasonable objective observer to present a potential conflict of interest with their responsibilities to the Company?

No.

- If so, provide a detailed narrative discussion of all material facts necessary to identify the potential conflicts of interest and the effects they may have on the Company.

Not Applicable.