



\$13 NASD Manual Processing Fee for Fingerprint results submitted by other SROs

\$55 NYSE Arca Transfer/Re-license Individual Fee

DEA Fee

\$2,000 monthly fee per firm<sup>3</sup>

\$250 annual fee per trader<sup>3</sup>

\$250 per quarter for firms not engaging in a public business<sup>4</sup>

APPLICATION RESULTING IN

\$2,000 fee per application

STATUTORY DISQUALIFICATION

PROCEEDINGS

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LATE PAYMENT OF FEES,

FINES & CHARGES

Number of times late within previous 12 months

Amount of Charge

1

\$250 or 1.0% of invoice amount, whichever is greater

2 or more

\$500 or 1.5% of invoice amount, whichever is greater

## NYSE Arca OPTIONS: TRADE-RELATED CHARGES

### TRANSACTION FEE - PER CONTRACT

<u>Order Type</u>	Standard Executions <sup>5</sup>	Electronic Executions in Penny Pilot Issues and Foreign Currency Options <sup>6</sup>	
		<u>Post Liquidity</u>	<u>Take Liquidity</u>
LMM <sup>7</sup>	\$0.09	-\$0.30	\$0.45
NYSE Arca Market Maker	\$0.16	-\$0.30	\$0.45
Broker Dealer & Firm Electronic	\$0.50	-\$0.25	\$0.45
Broker Dealer & Firm Manual	\$0.25	N/A	N/A
Customer Electronic	\$0.00	-\$0.25	\$0.45
Customer Manual	\$0.00	N/A	N/A
Firm Facilitation – Manual <sup>8</sup>	\$0.00	N/A	N/A
MARKET MAKER	>1,000,000 posted contracts, executed per month		-\$0.01
POST LIQUIDITY	> 5,000,000 posted contracts, executed per month		-\$0.05
INCENTIVE CREDIT <sup>9</sup>			

### ELECTRONIC COMPLEX

#### ORDER EXECUTIONS

Complex to Complex Order	\$0.10 per contract side
Complex to Complex Order, same firm representing both sides	\$0.05 per contract Side

Complex Orders in non Penny Pilot Issues executed against individual orders in the Consolidated Book will be subject to Standard Execution rate per contract.

Complex Orders in Penny Pilot Issues, executed against individual orders in the Consolidated Book will be subject to "Take Liquidity" rate per contract for that issue.

LIMIT OF FEES ON OPTIONS STRATEGY EXECUTIONS <sup>10</sup>	\$750 cap on transaction fees for Strategy Executions involving (a) reversals and conversions, (b) dividend spreads, (c) box spreads, (d) short stock interest spreads, (e) merger spreads, and (f) jelly rolls.
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The cap applies to each Strategy Execution executed on the same trading day in the same option class. Transaction fees for Strategy Executions are further capped at \$25,000 per month per initiating firm. All Royalty fees associated with Strategy Executions on Index and Exchange Traded Funds will be passed through to trading participants on the Strategy Executions on a pro-rata basis. These Royalty fees will not be included in the calculation of the \$750 per trade cap or the \$25,000 per month strategy fee cap.

LINKAGE FEES <sup>11, 12</sup>	\$0.50 per contract on electronically executed orders
	\$0.45 per contract on electronically executed orders in Penny Pilot Issues and Foreign Currency Options

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MARKETING CHARGE      \$0.65 per contract side on transactions of Lead Market Makers and Market Makers against all public customer orders.

Marketing Charges will not be assessed on transactions in Penny Pilot issues.

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ROYALTY FEES <sup>12</sup>	KBW Bank Index (BKX)	\$0.10
	Russell 2000 Index (RUT)	\$0.15
	ISE FX - Foreign Currency Options (BPX, CDD, EUI, YUK, AUX, SFC)	\$0.10

Royalty Fees will be assessed on a per contract basis for firm, broker/dealer, and Market Maker transactions. For electronic executions in issues included in the Penny Pilot and Foreign Currency Options, Royalty Fees will be passed through to the trading participant on the "Take" side of the transaction.

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RATIO THRESHOLD FEE <sup>13</sup>	Monthly order to execution ratio:	Monthly Charge:
	Between 10,000 and 14,999 to 1	\$5,000
	Between 15,000 and 19,999 to 1	\$10,000
	Between 20,000 and 24,999 to 1	\$20,000
	25,000 to 1 and greater	\$35,000

## **NYSE Arca OPTIONS: FLOOR and EQUIPMENT FEES**

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ELECTRONIC ORDER CAPTURE DEVICE      \$175 per device per month

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FLOOR BOOTHS      \$350 per month per booth  
Booth Fees are capped at \$3500 per month per OTP Firm

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TELEPHONES      \$95 / month per MX phone; \$30 /month per non-MX phone; \$14 per month per line (MX and non-MX phones); \$40/month per cordless phone; \$110 /month per drop phone

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OPTIONS FLOOR ACCESS FEE      \$130 per month for all registered floor personnel that do not pay an OTP Fee

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TRADE MATCH TERMINAL FEE	\$80 per month per Exchange-provided dedicated terminal or per user ID on firm-provided PCs that connect via the Exchange to SIAC \$50 per month per user ID on firm-provided PCs that connect via the firm's SIAC connection
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WIRE SERVICES	Pass-through fees
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VENDOR EQUIPMENT ROOM CABINET FEE	\$2,150 per cabinet per month. Firms not using a full cabinet will pay a pro rata portion
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CONNECTIVITY FEE	\$300 per line per month per order sending firm
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TELECOM MOVE/ADD/CHANGE FEE	\$100 per hour on pro-rated basis
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#### **NYSE Arca OPTIONS: REPORT FEES**

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##### OPTIONS REPORTS

User Activity Extracts (Batch)	\$0.0075 per trade plus development and set-up costs
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Online Data Extract	\$500 per month
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SPECIALIZED REPORT, PRINTING AND PROCESSING	Development and production costs
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1. Fee will be based on the maximum number of OTPs held by an OTP Firm or OTP Holder during a calendar month.
2. This fee is in addition to the Market Maker Fee and will be billed on a per issue basis to the OTP Firm acting as LMM in the issue. This fee will not apply to Interim LMMs acting in accordance with Rule 6.82(b)(4). This fee will not apply to issues that have been designated as "closing only" and are subject to delisting by the Exchange.
3. This fee will apply to OTP Firms for which the Exchange is the Designated Examining Authority. An exemption from this fee will be granted to any NYSE Arca registered Floor Broker or Market Maker that effects at least 25% of all securities transactions, as measured in contract or share volume, on any options trading facility of NYSE Arca.
4. This fee does not apply to those firms subject to the \$2,000 monthly fee.
5. Standard Executions include all executions in non-Penny Pilot issues and all manual executions in Penny Pilot issues.
6. For Electronic Executions in Penny Pilot issues and Foreign Currency Options, Post Liquidity Fees are credited, Take Liquidity Fees are charged. Transaction fees do not apply to executions occurring during the Opening Auction in Penny Pilot issues and Foreign Currency Options. Penny Pilot issues trade as part of a pilot program in accordance with Rule 6.72.
7. The Exchange will rebate this fee for NYSE Arca Options executions that result from principal acting as agent orders sent and executed at away market centers. In addition to the fore mentioned rebate, the Exchange will credit Market Makers \$0.26 per contract for executions that result from principal acting as agent orders sent and executed at away market centers. The rebate and credit will be based on the aggregate market maker transaction charge calculated at month-end. Market Makers shall reimburse the Exchange for all credits received in excess of the total actual costs associated with sending principal acting as agent orders to away market centers.
8. The Firm Facilitation fee applies to any transaction involving a firm proprietary trading account, that has a customer of that same Firm on the contra side of the transaction.
9. Market Makers and Lead Market Makers will earn the Incentive Credit in addition to the standard Post Liquidity fee credit, in Penny Pilot Issues. The Incentive Credit is earned on a per-contract basis, on transactions resulting from posted liquidity, for contracts executed in excess of amounts stated on the Schedule above.
10. This fee is applicable through an Exchange Pilot Program until March 1, 2010.
11. Executions resulting from Linkage Orders, other than Satisfaction Orders, will be subject to these fees. Fees imposed on Linkage Orders are subject to an Exchange Pilot Program and will expire December 31, 2009.
12. These fees will not be assessed on the customer side of transactions. Royalty Fees apply to Linkage Orders except for Satisfaction Orders. Please refer to "Limit of Fees on Options Strategy Executions" section of this schedule for information regarding Royalty Fees associated with Options Strategy Executions.
13. The Ratio Threshold Fee is calculated on a monthly basis. This fee shall not apply to orders that improve the Exchange's prevailing best bid-offer (BBO) market at the time the orders are received.