



**NYSE Amex Equities
Price List**

2009

Equity Transaction Fees and Credits¹

Transactions in Securities with a Per Share Price of \$1.00 or More

Equity per Share Credit - per transaction - when adding liquidity (displayed and non-displayed orders).....	\$0.0030
Agency cross trades (i.e., a trade where a Member Organization has customer orders to buy and sell an equivalent amount of the same security)...	No Charge
Non-electronic agency transactions between floor brokers in the crowd.....	No Charge
At the opening or at the opening only orders.....	No Charge
Equity per Share Charge ² – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....	\$0.0005
Equity per Share Charge ² - per transaction (charged to both sides) – for all odd lot transactions (including the odd lot portions of partial round lots).....	\$0.0010
Equity per Share charge ² - market at-the-close and limit at-the-close orders...	\$0.0007
Equity per Share Charge ² for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction (except floor brokers).....	\$0.0025
Equity per Share Charge for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction (floor brokers).....	\$0.0025
Routing Fee – per share (except floor brokers) ³	\$0.0030
Routing Fee – per share (floor brokers) ³	\$0.0029

¹ Does not apply to transactions by members acting as a Designated Market Maker for own account.

² Includes shares, rights, warrants and closed end funds.

³ Applies to all orders routed from NYSE Amex and executed in another market. Routing Fees are in lieu of NYSE Amex transaction charges.

Transactions in Securities with a Per Share Price Below \$1.00

Equity per Share Charge when adding liquidity to the Exchange.....	No Charge
Equity per Share Charge ² when taking liquidity from the Exchange - per transaction.....	0.25% of total dollar value of the transaction
Equity per Share Charge ² – Market at the Close and Limit at the Close Order.....	The lesser of (i) \$0.0007 per share and (ii) 0.25% of the total dollar value of the transaction
Equity per Share Charge ⁴ – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....	The lesser of (i) \$0.0005 per share and (ii) 0.25% of the total dollar value of the transaction
Equity per Share Charge ⁴ - per transaction (charged to both sides) – for all odd lot transactions (including the odd lot portions of partial round lots).....	The lesser of (i) \$0.0010 per share and (ii) 0.25% of the total dollar value of the transaction
Routing Fee – per share	0.3% of the total dollar value of the transaction

⁴ Includes shares, rights, warrants and closed end funds.

Fees and Credits applicable to Designated Market Makers

Equity Per Share Charge ² when taking liquidity from the Exchange	\$0.0015
Equity Per Share Credit ⁵ when adding liquidity to the Exchange.....	\$0.0035
Executions at the opening.....	No Charge
Equity per Share Credit – per transaction - for all odd lot transactions (including odd lot portions of partial round lots).....	\$0.0005
Equity per Share Credit for executions at the close.....	\$0.0005
Routing Fee – per Share Charge.....	\$0.0030

Fees and Credits Applicable to Designated Market Makers on Transactions in Securities with a Per Share Price below \$1.00

Equity per Share Charge when taking liquidity from the Exchange.....	No Charge
Equity per Share Credit ⁵ when adding liquidity to the Exchange	0.15% of the total dollar value of the transaction
Routing Fee – per Share Charge	0.3% of the total dollar value of the transaction

Each DMM will receive all of the market data quote revenue (the “Quoting Share”) received by the Exchange from the Consolidated Tape Association under the Revenue Allocation Formula of Regulation NMS with respect to any security (with a trading price either above or below \$1.00) in any month in which the DMM meets the quoting requirement of Rule 104(a)(1)(A) for that specific security.

Crossings Sessions

NYSE Crossing Session I (Single Stocks) and II (Portfolios).....	No Charge
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⁵ Rebates will be applied when (i) posting displayed and non-displayed orders on Display Book, including s-quote and s-quote reserve orders; (ii) when providing liquidity on non-displayed interest using the Capital Commitment Schedule; (iii) when executing trades in the crowd and at Liquidity Replenishment Points; and (iv) when providing liquidity on market-at-the-close and limit-at-the-close transactions. Rebates will not apply to executions at the open.

NYSE BONDSSM SYSTEM

Credit – Per bond for executions of orders of less than 20 bonds that provide liquidity to the NYSE if the original and/or residual order is for 20 bonds or more (effective from December 1, 2007 through December 31, 2009).....	\$20.00
NYSE-Sponsored Graphic User Interface “GUI”.....	\$5,000.00 per year
Execution Fee per bond for orders that take liquidity from the NYSE Bonds SM Book (effective January 15, 2008 through December 31, 2009):	
Executions of one to ten (10) bonds	\$0.50 per bond
Executions of eleven (11) to twenty-five (25) bonds.....	\$0.20 per bond
Executions of twenty-six (26) bonds or more.....	\$0.10 per bond

Execution fees for bonds are subject to a \$100.00 maximum fee per execution (effective January 15, 2008 through December 31, 2009).

Risk Management Gateway (“RMG”SM)

Sponsoring Member Organization Monthly Connection Fee for First 1000 Messages.	\$3,000.00
Sponsoring Member Organization Monthly Connection Fee for every additional 1000 Messages.	\$1,000.00

Equipment Fees

Schedule of Annual Charges, unless otherwise noted

Clerk Badge Fee

Annual Fee per Clerk..... \$1,000.00

Radio Paging Service

Base charge (unit and first channel)..... \$408.50
Each additional channel..... 139.75

Financial Vendor Services

Administrative Fee
Per ITPN User⁶..... \$480.00
Various Products..... Direct Pass
Through⁷

Member Telephone Service

Toll call amount billed by Verizon plus a per call surcharge on
Toll calls \$0.69 and below..... \$0.16
Toll calls greater than \$0.69..... 0.26

Cellular Phones

Phone and Headset..... No Charge
Ongoing Maintenance – per phone..... \$240.00⁸

Booth Telephone System

Annual Telephone Line Charge..... \$400.00 per
phone
number
Single line phone, jack, and data jack..... 129.00

⁶ ITPN “User” is a member or person associated with a member, who has been entitled to receive one or more third party market data vendor service offerings via the Exchange’s Integrated Technology Program Network.

⁷ Plus appropriate sales tax where applicable.

⁸ Plus sales tax.

Service Charges⁹

Install single jack (voice or data).....	\$161.25
Relocate jack.....	107.50
Remove jack.....	53.75
Install voice or data line.....	107.50
Disconnect data line.....	53.75
Change phone line subscriber.....	53.75
Miscellaneous telephone charges ¹⁰	

Broker Subscriber Service

e-Broker Hand Held Device (annual charge per handheld device).....	\$5,000.00
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System Processing Fees

Online Comparison System (OCS)

Transaction Fees:

Next Day Submission (Adds or Adjustments) and Questioned Trade Charge – per submission or questioned trade.....	\$0.50
Step Out Charge (Adds or Adjustments) – per transaction.....	0.25
Transactions submitted to the Exchange for trade date comparison (Adds) – per submission	0.10

Merged Order Report

Charge per copy (other than first copy):

Machine Readable Output and Print Image Transmission.....	\$3.00 per 1,000 records
Hard Copy.....	4.50 per 1,000 lines

⁹ The Exchange will make all efforts to perform services during hours covered by the maintenance contract; however, tasks performed during overtime hours will be billed at a rate of 25% above the normal service charge.

¹⁰ To be billed at \$106 per hour in 15 minute increments.

Regulatory Fees

Registration Fees ¹¹	
Initial Processing Fee ¹²	\$145
Disclosure Processing Fee ¹³	\$95
Annual Renewal Processing Fee ¹⁴	\$80
Fingerprint Card Processing Fee ¹⁵	\$35
Fingerprint Results Processed thru other SROs ¹⁶	\$13
Transfer Processing Fee	\$125
Web CRD System Transition Fee ¹⁷	\$85
Terminations Fee ¹⁸	\$35
Designated Examining Authority Fee	\$.00040 per dollar of gross revenue as reported on quarterly or annual FOCUS Report Form X-17A-5 (or replacement Form). Fee is subject to a monthly minimum of \$1,000 for clearing firms and \$275 for non-clearing firms. Excludes commodity commission revenue.
Application Resulting in Statutory Disqualification Proceedings	\$2,000

¹¹ Registration fees will continue to be waived through September 30, 2009 for NYSE member organizations that automatically became member organizations of NYSE Amex by operation of NYSE Amex Equities Rule 2 at the time of relocation of all NYSE Amex equities trading to the to the NYSE trading facilities and systems located at 11 Wall Street, New York, NY.

¹² This fee will be assessed for all initial and dual registration Form U-4 filings. \$85.00 of this fee will be retained by FINRA as its CRD Processing Fee and \$60.00 will be disbursed by FINRA to the Exchange as its Initial Registration Fee.

¹³ This fee will be assessed in connection with Forms U-4 and U-5 for all filings that contain new or amended disclosure information. This fee will be retained by FINRA as its Disclosure Processing Fee.

¹⁴ This fee will be assessed during the yearly renewal cycle. \$30.00 of this fee will be retained by FINRA as its Annual System Processing Fee assessed during renewals and \$50.00 will be disbursed by FINRA to the Exchange as its Annual Maintenance Fee

¹⁵ This fee will be assessed for receiving hard copy fingerprint cards as part of the registration function and submitting and processing the results of each card received. This fee will be retained by FINRA as its Fingerprint Card Processing Fee.

¹⁶ This fee will be retained by the FINRA.

¹⁷ This fee is a one time fee that will be assessed on all individuals whose U-4s will be refiled electronically with Web CRD as part of the Exchange's migration to Web CRD. This fee will be retained by FINRA.

¹⁸ This fee will be assessed in connection with all Form U-5 filings. This fee will be disbursed by FINRA to the Exchange.

Network B Fees

Consolidated Last Sale and Bid Ask Service ^{(1) (7)}

Monthly Rate

Ticker Display ⁽²⁾⁽³⁾⁽⁵⁾⁽⁶⁾

\$13.60 each unit

Interrogation Units - Professionals ⁽²⁾⁽³⁾

CTA Participant Members

Last Sale

13.60 each unit

Bid – Ask

13.65 each unit

Non – Members

Last Sale

14.60 each unit

Bid – Ask

15.60 each unit

Interrogation Units - Non - Professionals ⁽²⁾⁽³⁾

Last Sale and Bid Ask Combined Services

1.00 each unit

Usage-Based Pricing - Non - Professionals ⁽⁸⁾

Tier

of Quote Packets

**Monthly RatePer
Quote Packet**

I

first 20 million

\$0.0075

II

next 20 million

0.0050

III

over 40 million

0.0025

Enterprise License

Maximum per month fee payable by U.S. registered broker-dealer for unlimited dissemination of real-time data to employees, partners, officers and/or its non-professional brokerage customers 500,000

Notes:

1. Includes real-time last sale and bid-ask data for Network B securities disseminated by Participants in Consolidated Tape Association; namely the American, Boston, Cincinnati, Chicago, Pacific and Philadelphia Stock Exchanges, the FINRA and the Chicago Board Options Exchange.
2. Charges are "per location" and do not include one-time installation, relocation and other miscellaneous charges where applicable, which are generally a direct pass-through from the common carrier to the subscriber.
3. Charges by vendor furnishing equipment are in addition to these charges.
4. Only one first unit charge applies in an office subscribing to units from two or more vendors.
5. Plus charges, if any, for interconnecting facilities required in connection with additional units.
6. Includes Retransmitted, Blocked, and / or Selective Ticker Displays.
7. Excluding applicable taxes.
8. Alternative to monthly display charges. Charges can be capped at \$1.00 per unit regardless of how many quote packets received. A quote packet includes any data element or all data elements in respect of a single issue (e.g., last, open, high, low, volume, etc.)

Method of Data Access	Consolidated Last Sale	Consolidated Bid Asked
1) High Speed Line – Direct	See Notes (1) (2)	See Notes (1) (2)
2) High Speed Line – Indirect	See Note (1)	See Note (1)
Computer Program Classifications ⁽²⁾⁽³⁾⁽⁴⁾⁽⁵⁾	Consolidated Last Sale (monthly)	Consolidated Bid Asked (monthly)
A. Interrogation Services	See Note (6)	See Note (6)
B. Compilation of Stock Tables	\$200	200
C. Operations Control Programs	200	200
D. Analysis Programs	200	200
E. Market Making Programs	1,000	1,000
F. Real - Time Market Check	100	100
G. Automated Voice Response	See Note (7)	See Note (7)
H. Automated Printer Reports	See Note (7)	See Note (7)

Notes:

- (1) Includes NYSE Amex listed or eligible securities (Network B Data) and NYSE listed securities (Network A Data).
- (2) Subscriber must provide telecommunications facilities into 55 Water Street, New York, NY, to access data.

- (3) Classification descriptions are provided in the Network B Computer Program Classification descriptions.
- (4) Rates apply to Network B securities only. Contact the NYSE for information and rates concerning Network A.
- (5) Fees do not apply to stand – alone terminals (e.g., personal computers) for personal use.
- (6) No computer program charge applies to vendor, but standard subscriber interrogation unit charges apply.
- (7) Professional subscriber device rates apply on the basis of maximum number of simultaneous inquiries that can be handled at any one time. Includes real-time last sale and bid-ask data for Network B securities disseminated by Participants in Consolidated Tape B.

Listing Fees

I. Original Listing Fees

The initial fees applicable to listing securities on NYSE Amex are set forth in of the NYSE Amex *Company Guide*.

II. Annual Listing Fees

The annual fees applicable to listing securities on NYSE Amex are set forth in the NYSE Amex *Company Guide*.

III. Additional Listing Fees

Additional fees applicable to listing securities on NYSE Amex are set forth in the NYSE Amex *Company Guide*.

Publications

Type	One Time Charge
NYSE Amex Rules	\$18.00
NYSE Amex Directory	\$6.00
NYSE Amex Guide & Binder	\$56.82
NYSE Amex Guide Binder	\$12.75
NYSE Amex Guide Compilations/Inserts	\$16.00