



**NYSE Amex Equities  
Price List**

**2011**

## Equity Transaction Fees and Credits for Listed Securities<sup>1</sup>

### 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).....	\$0.0016
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 <sup>2</sup> – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....	\$0.0005
Equity per Share charge <sup>2</sup> - market at-the-close and limit at-the-close orders...	\$0.00085
Equity per Share Charge <sup>2</sup> for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction (except floor brokers).....	\$0.0028
Equity per Share Charge for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction (floor brokers).....	\$0.0028
Routing Fee – per share (except floor brokers) <sup>3</sup> .....	\$0.0030
Routing Fee – per share (floor brokers) <sup>3</sup> .....	\$0.0029
Closing Offset (“CO”) Orders.....	No Charge

### 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 <sup>2</sup> when taking liquidity from the Exchange - per transaction.....	0.25% of total dollar value of the transaction

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

<sup>2</sup> Includes shares, rights, warrants and closed end funds.

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

Equity per Share Charge <sup>2</sup> – Market at the Close and Limit at the Close Order.....	The lesser of (i) \$0.00085 per share and (ii) 0.25% of the total dollar value of the transaction
Equity per Share Charge <sup>4</sup> – 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
Routing Fee – per share .....	0.3% of the total dollar value of the transaction
Closing Offset (“CO”) Orders.....	No Charge

**Fees and Credits applicable to Designated Market Makers on Transactions in Securities with a Per Share Price of \$1.00 or more**

Equity Per Share Charge <sup>2</sup> when taking liquidity from the Exchange .....	\$0.0016
Equity Per Share Credit <sup>5</sup> when adding liquidity to the Exchange if the consolidated average daily volume (“CADV”) <sup>6</sup> in all Exchange-listed stocks during the current month is equal to or greater than 135 million shares per day.....	\$0.0042

<sup>4</sup> Includes shares, rights, warrants and closed end funds.

<sup>5</sup> 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.

<sup>6</sup> For purposes of DMM liquidity credits based on the CADV in all Exchange-listed stocks in the current month, ADV calculations exclude early closing days.

Equity Per Share Credit <sup>5</sup> when adding liquidity to the Exchange if the CADV <sup>6</sup> in all Exchange-listed stocks during the current month is less than 135 million shares per day.....	\$0.0045
Monthly credit payable to a DMM, in addition to the current rate on transactions, for each of that DMM's stocks whose CADV during the current month is less than 50,000 shares per day and for which the DMM has met its 10% quoting requirement in that month.....	\$100.00
Executions at the opening.....	No Charge
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 <sup>5</sup> when adding liquidity to the Exchange .....	0.25% of the total dollar value of the transaction
Monthly credit payable to a DMM, in addition to the current rate on transactions, for each of that DMM's stocks whose CADV during the current month is less than 50,000 shares per day and for which the DMM has met its 10% quoting requirement in that month.....	\$100.00
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.

## Credits Applicable to Supplemental Liquidity Providers

Credit per Share - per transaction - for Supplemental Liquidity Providers (“SLPs”) - when adding liquidity to the Exchange in securities with a per share price of \$1.00 or more, if the SLP does not meet the 5% average or more quoting requirement in an assigned security pursuant to Rule 107B ...	\$0.0016
Credit per Share - per transaction - for SLPs - when adding liquidity to the Exchange in securities with a per share price of \$1.00 or more, if the SLP meets the 5% average or more quoting requirement in an assigned security pursuant to Rule 107B.....	\$0.0027
Credit per Share - per transaction - for SLPs - when adding liquidity to the Exchange in securities with a per share price of less than \$1.00, if the SLP meets the 5% average or more quoting requirement in an assigned security pursuant to Rule 107B.....	\$0.0005

## Equity Transaction Fees and Credits For Nasdaq Securities Traded Pursuant to Unlisted Trading Privileges

### Fees and Credits applicable to Market Participants for Transactions in Nasdaq Securities<sup>7</sup>

	Share Price \$1.00 or more	Share Price below \$1.00
Equity per Share Credit - per transaction - when adding liquidity, including displayed and non-displayed orders	\$0.0030	No Charge
		0.10% of total dollar value of the transaction (Floor brokers only)
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	No Charge
Non-electronic agency transactions between floor brokers in the crowd.....	No Charge	No Charge
Equity per Share Charge <sup>8</sup> – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....	\$0.0005	0.20% of total

<sup>7</sup> Does not apply to transactions by a Designated Market Maker or Supplemental Liquidity Provider for its own account (see separate fee schedule herein).

<sup>8</sup> Includes shares, rights, warrants and closed end funds.

		dollar value of the transaction
Equity per Share Charge <sup>8</sup> for all other transactions (i.e., when taking liquidity from the Exchange) except for taking liquidity from the Exchange when the volume requirements are met for the reduced charge immediately below - per transaction.....	\$0.0027	0.20% of total dollar value of the transaction
Equity per Share Charge <sup>8</sup> for taking liquidity from the Exchange when the market participant in the current month either (i) executes an average daily volume (“ADV”) of greater than 3 million shares in liquidity taken from the Exchange and routed to other markets and executed (combined) or (ii) executes an ADV of greater than 1 million shares in liquidity taken from the Exchange and routed to other markets and executed (combined) <b>and</b> executes an ADV of 130,000 contracts or more on the NYSE Amex options market (the “Reduced Fee Volume Requirements”) - per transaction .....	\$0.0019	0.20% of total dollar value of the transaction
Routing Fee – per share <sup>9</sup> when Reduced Fee Volume Requirements are not met.....	\$0.0029	0.29% of total dollar value of the transaction
Routing Fee – per share <sup>9</sup> when Reduced Fee Volume Requirements are met.....	\$0.0019	0.29% of total dollar value of the transaction
Equity per Share Credit – per transaction for displayed liquidity – when adding liquidity in orders that originally display a minimum of 2,000 shares with a trading price of at least \$5.00 per share, for as long as the order is not cancelled in an amount that would reduce the original displayed amount below 2,000 shares.....	\$0.0036	Not Applicable

<sup>9</sup> Applies to all orders routed from NYSE Amex and executed in another market. Routing Fees are in lieu of NYSE Amex transaction charges.

**Fees and Credits applicable to Designated Market Makers (DMMs) for Transactions in Nasdaq Securities**

	<b>Share Price \$1.00 or more</b>	<b>Share Price below \$1.00</b>
Equity per Share Credit <sup>10</sup> - per transaction - when adding liquidity.....	\$0.0031	0.20% of total dollar value of the transaction
Equity per Share Charge <sup>8</sup> for all other transactions (i.e., when taking liquidity from the Exchange) except for taking liquidity from the Exchange when the DMM meets the Reduced Fee Volume Requirements - per transaction - per transaction.....	\$0.0027	0.20% of total dollar value of the transaction
Equity per Share Charge <sup>8</sup> for taking liquidity from the Exchange when the DMM meets the Reduced Fee Volume Requirements.....	\$0.0019	0.20% of total dollar value of the transaction
Routing Fee – per share <sup>9</sup> when Reduced Fee Volume Requirements are not met.....	\$0.0029	0.29% of total dollar value of the transaction
Routing Fee – per share <sup>9</sup> when Reduced Fee Volume Requirements are met.....	\$0.0019	0.29% of total dollar value of the transaction
Equity per Share Credit – per transaction for the displayed portion of s-Quotes – when adding liquidity in s-Quotes that display 2,000 shares or more at the time of execution with a trading price of at least \$5.00 per share.....	\$0.0036	Not Applicable

<sup>10</sup> 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; and (iii) when executing trades in the crowd.

**Fees and Credits applicable to Supplemental Liquidity Providers (SLPs)  
for Transactions in Nasdaq Securities**

	<b>Share Price \$1.00 or more</b>	<b>Share Price below \$1.00</b>
Equity per Share Credit - per transaction - when adding liquidity, if SLP meets quoting requirement pursuant to Rule 107B.....	\$0.0031	No Charge
Equity per Share Credit - per transaction - when adding liquidity, if SLP does not meet quoting requirement pursuant to Rule 107B.....	\$0.0030	No Charge
Equity per Share Credit – per transaction for displayed liquidity – when adding liquidity in orders that originally display a minimum of 2,000 shares with a trading price of at least \$5.00 per share, for as long as the order is not cancelled in an amount that would reduce the original displayed amount below 2,000 shares.....	\$0.0036	Not Applicable

**Crossing Sessions for both NYSE Amex Equities listed and traded securities**

NYSE Crossing Session I (Single Stocks).....	No Charge
NYSE Crossing Session II (Portfolios) – Equity per Share Charge – per transaction (charged to both sides) – subject to a \$50,000 cap per month per member organization for (i) NYSE Amex Equities listed securities, and separately (ii) NYSE Amex traded securities.....	\$0.0001

**NYSE BONDS<sup>SM</sup> 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
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NYSE-Sponsored Graphic User Interface "GUI"..... \$5,000.00 per year

Execution Fee per bond for orders that take liquidity from the NYSE Bonds<sup>SM</sup> 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" <sup>SM</sup>)**

Number of Connections (Monthly):	Amount of Charge:
First Connection (up to 1000 messages per second).	\$3,000.00
Every additional Connection (up to 1000 messages per second).	\$1,000.00

**Equipment Fees**

Schedule of Annual Charges, unless otherwise noted

***Clerk Badge Fee***

Annual Fee per Clerk.....	\$1,000.00
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***Radio Paging Service***

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

***Financial Vendor Services***

Administrative Fee	
Per ITPN	\$480.00
User <sup>11</sup> .....	
Various Products.....	Direct Pass Through <sup>12</sup>

<sup>11</sup> 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.

<sup>12</sup> Plus appropriate sales tax where applicable.

***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.....	\$240.00 <sup>13</sup>

***Booth Telephone System***

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

***Service Charges<sup>14</sup>***

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 <sup>15</sup>	

***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:

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<sup>13</sup> Plus sales tax.

<sup>14</sup> 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.

<sup>15</sup> To be billed at \$106 per hour in 15 minute increments.

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

***Port Fee (ports available for equity trading)***

1 – 5 pairs.....	\$100 per month per pair
More than 5 pairs.....	\$500 per month for each additional 5 pairs

**Regulatory Fees**

Registration Fees

Disclosure Processing Fee <sup>11</sup>	\$95
Fingerprint Card Processing Fee <sup>12</sup>	\$35
Fingerprint Results Processed thru other SROs <sup>13</sup>	\$13

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

<sup>11</sup> 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.

<sup>12</sup> 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.

<sup>13</sup> This fee will be retained by the FINRA.

## Network B Fees

### Consolidated Last Sale and Bid Ask Service <sup>(1)(7)</sup>

Monthly Rate

Ticker Display <sup>(2)(3)(5)(6)</sup>

\$13.60 each unit

### Interrogation Units - Professionals <sup>(2)(3)</sup>

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 <sup>(2)(3)</sup>

Last Sale and Bid Ask Combined Services

1.00 each unit

Usage-Based Pricing - Non - Professionals <sup>(8)</sup>

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.)

<b>Method of Data Access</b>	<b>Consolidated Last Sale</b>	<b>Consolidated Bid Asked</b>
1) High Speed Line – Direct	See Notes (1) (2)	See Notes (1) (2)
2) High Speed Line – Indirect	See Note (1)	See Note (1)
<b>Computer Program Classifications</b> <sup>(2)(3)(4)(5)</sup>	<b>Consolidated Last Sale (monthly)</b>	<b>Consolidated Bid Asked (monthly)</b>
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.

## Co-Location Fees

<b>Initial Fee per Cabinet</b>	<b>\$5,000</b>
<b>Number of kW</b>	<b>Per kW Fee Monthly</b>
4 - 8	\$1,200
12 - 20	\$1,050
24 - 40	\$950
44 +	\$900

Type of Service	Description	Amount of Charge
LCN Access	1Gb Circuit	\$6,000 per connection initial charge plus \$5,000 monthly per connection
LCN Access	10 Gb Circuit	\$10,000 per connection
Bundled Network Access, Option 1 (2 LCN connections, 2 SFTI connections, and 2 optic connections to outside access center)	1GB Bundle	\$25,000 initial charge plus \$13,000 monthly charge
	10 GB Bundle	\$50,000 initial charge plus \$47,000 monthly charge
Bundled Network Access, Option 2 (2 LCN connections, 2 SFTI connections, 1 optic connection to outside access center, and 1 optic connection in data center)	1 GB Bundle	\$26,000 initial charge plus \$16,000 monthly charge
	10 Gb Bundle	\$50,000 initial charge plus \$54,250 monthly charge
Bundled Network Access, Option 3 (2 LCN Connections, 2 SFTI connections, and 2 optic connections in data center)	1 Gb Bundle	\$27,500 initial charge plus \$19,000 monthly charge
	10 Gb Bundle	\$50,000 initial charge plus \$61,500 monthly charge

Data Center Fiber Cross Connect	Cross connect between a single User's cabinets within the data center.	\$500 per unit initial charge plus \$500 monthly per unit
Initial Install Services (Required per cabinet)	Includes initial racking of equipment in cabinet and provision of up to 10 cables (4 hrs).	\$800 per cabinet
Hot Hands Service: Normal Business Hours, Scheduled (Note: Hot Hands Service allows Users to use on-site data center personnel to maintain User equipment.)	Applies on non-NYSE Amex holidays, Monday to Friday, 9am to 5pm if scheduled at least 1 day in advance.	\$200 per hour

Hot Hands Service: Extended Business Hours, Scheduled	Applies Monday to Friday 5pm to 9am, NYSE Amex holidays, and weekends if scheduled at least 1 day in advance.	\$275 per hour
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Hot Hands Service: Normal Business Hours, Expedited	Applies on non-NYSE Amex holidays, Monday to Friday, 9am to 5pm if NOT scheduled at least 1 day in advance.	\$250 per hour
Hot Hands Service: Extended Business Hours, Expedited	Applies Monday to Friday 5pm to 9am, NYSE Amex holidays, and weekends if NOT scheduled at least 1 day in advance.	\$325 per hour
Rack and Stack	Installation of one server in User's cabinet. Service encompasses handling, unpacking, tagging, and installation of the server as well as 1 network connection within the User rack.	\$200 per server
Power Recycling	Reboot of power on one server or switch as well as observing and reporting on the status of the reboot back to the User.	\$50 per reset
Shipping and Receiving	Receipt of one shipment of goods at data center from User/supplier. Includes coordination of shipping and receiving.	\$100 per shipment
Badge Request	Request for provision of a permanent data center site access badge for a User representative.	\$50 per badge
External Cabinet Cable Tray	Engineer, furnish and install Rittal 5"H x 12"W cable tray on cabinet.	\$400 per tray
Custom External Cabinet Cable Tray	Engineer, furnish and install 4" H x 24" W custom basket cable tray above client's cabinet rows.	\$100 per linear foot
Install and Document Cable	Labor charges to install and document the fitting of a cable(s) in a User's cabinet(s) in excess of the 10 copper cables include in the cabinet installation fee.	\$200 per hour
Equipment Maintenance Call Escalation	Hardware maintenance-break fix services available through NYSE arrangement with Delta Computer Group.	\$100 per call
Visitor Security Escort	NYSE employee escort, which is required during User visits to the data center. (Note: all User representatives are required to have a visitor security escort during visits to the data center, including User representatives who have a permanent data center site access badge.)	\$75 per hour

Technician Support Service-Non Emergency	Network technician equipped to support User network troubleshooting activity and to provide all necessary testing instruments to support the User request. Prior day notice is required.	\$200 per hour
Technician Support Service-Emergency	Network technician equipped to support User network troubleshooting activity and to provide all necessary testing instruments to support the User request. Two hour notice is required.	\$325 per hour

## **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

<b>Type</b>	<b>One Time Charge</b>
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