

NYSE AMERICAN OPTIONS FEE SCHEDULE*

*NYSE American Options is the options trading facility of NYSE American LLC

Effective as of September 24, 2020

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BILLING DISPUTES

All fee disputes concerning fees billed by the Exchange must be submitted to the Exchange in writing and must be accompanied by supporting documentation. All fee disputes must be submitted no later than sixty (60) days after receipt of a billing invoice.

ROUNDING

Any per contract fees that are less than \$0.01 will be handled in the following manner. All volume for the month will be summed and the applicable rate applied. In those cases where a fractional cent occurs, the Exchange will round up to the nearest whole cent for purposes of computing the invoice. For example, if the monthly volume is 3,001 contracts and the applicable rate is \$0.055 per contract, the result is \$165.055 which will be rounded to \$165.06 in computing the invoiced amount.

SYSTEM DISRUPTIONS

The Exchange may exclude from its monthly calculations of contract volume any day that (1) the Exchange is not open for the entire trading day and/or (2) a disruption affects an Exchange system that lasts for more than 60 minutes during regular trading hours.

KEY TERMS and DEFINITIONS

The following definitions and terms apply to the Exchange's Fee Schedule.

An "Affiliate", or person "affiliated" with a specific person, is a person that directly or indirectly through one or more intermediaries, has a 70% common ownership with, the person specified.

An "Appointed MM" is an NYSE American Options Market Maker who has been appointed by an OFP pursuant to Section I. E. for the purposes of Sections 1.D. and 1.E.

An "Appointed OFP" is an OFP who has been appointed by an NYSE American Options Market Maker pursuant to Section I. E. for the purposes of Sections 1.D. and 1.E.

An "ATP" or "ATP Holder" is a registered Broker-Dealer who is a permit holder on the Exchange, per Rule 900.2NY(4),(5).

The "BOLD Mechanism" refers to the Exchange's automated order handling for eligible orders in designated classes, pursuant to Rule 994NY.

A "BOLD Initiating Order" is an order submitted to be executed via the BOLD Mechanism.

A "BOLD Responding Order" is an order that trades with the BOLD Initiating Order.

A "Broker-Dealer" is an entity registered pursuant to Section 15 of the Exchange Act, per Rule 990NY(3).

A "Clearing Member" means an Exchange ATP Holder which has been admitted to membership in the Options Clearing Corporation pursuant to the provisions of the Rules of the OCC, per Rule 900.2NY(11).

A “Complex Order” is any order involving the simultaneous purchase and/or sale of two or more different option series in the same underlying security, for the same account, in a ratio that is equal to or greater than one-to-three (.333) and less than or equal to three-to-one (3.00) and for the purpose of executing a particular investment strategy, per Rule 900.3NY(e).

A “Complex CUBE Auction” refers to the electronic crossing mechanism that provides opportunities for price improvement to Complex CUBE Orders submitted to such auctions.

A “Complex CUBE Order” is an agency Complex Order that is guaranteed an execution in the Complex CUBE Auction by a Complex Contra Order.

A “Complex Contra Order” is either principal interest or solicited interest an Initiating Participant is using to guarantee the execution of a Complex CUBE Order in the Complex CUBE Auction.

A “Contra Order” is either principal interest or solicited interest an Initiating Participant is using to guarantee the execution of a CUBE Order in the Single-Leg CUBE Auction.

A “CUBE Auction” refers collectively to the Single-Leg and Complex CUBE Auctions available on the Exchange.

A “CUBE Order” is an agency order that is guaranteed an execution in the Single-Leg CUBE Auction by a Contra Order.

A “Single-Leg CUBE Auction” refers to the electronic crossing mechanism that provides opportunities for price improvement to CUBE Orders submitted to such auctions.

A “Customer” means an individual or organization that is not a Broker-Dealer, per Rule 900.2NY(18); and is not a Professional Customer.

A “Directed Order Market Maker” or “DOMM” means a Market Maker that receives a Directed Order, per 900.2NY(19).

An “Electronic” trade refers to one executed through the Exchange System, as opposed to on the Floor in open outcry.

An “e-Specialist” means an individual or entity that has been deemed qualified by the Exchange for the purpose of making transactions on the Exchange in accordance with the provisions of Rule 920NY, as further described in Rule 927.4NY. Each e-Specialist must be registered with the Exchange as a Market Maker.

The “Exchange System” or “System” as set forth in Rule 900.2NY(48), refers to the Exchange’s electronic order delivery, execution and reporting system for designated option issues through which orders and quotes of Users are consolidated for execution and/or display.

A “Firm” means a Broker-Dealer that is not registered as a dealer-specialist or Market Maker that is an ATP Holder on the Exchange, per Rule 900.2NY(28).

A “Firm Facilitation” trade is a Manual trade that is executed in open outcry, in which one counterparty clears in the Firm or Broker-Dealer range at the OCC, the other counterparty clears in the Customer range at the OCC, and both counterparties have the same Clearing Member symbol or identification.

The “Floor” or “Trading Floor” means the options trading floor located at 11 Wall Street, New York, NY, per Rule 900.2NY(30).

A “Floor Broker” is an ATP Holder as defined in Rule 930NY.

A “Floor Market Maker” means a registered Market Maker who makes transactions as a dealer-specialist while on the Floor of the Exchange, per Rule 900.2NY(29).

An “Initiating Participant” is an ATP Holder that submits the CUBE Order (or Complex CUBE Order) and agrees to guarantee the execution of such order by submitting a Contra Order (or Complex Contra Order) representing principal interest or interest it has solicited to trade with the CUBE Order (or Complex CUBE Order).

A “Manual” trade refers to one executed on the Trading Floor of the Exchange in open outcry, as opposed to Electronically via the Exchange System.

A “Market Maker Authorized Trader” or “MMAT,” per Rule 900.2NY(37), is an authorized trader who performs market making activities pursuant to Rule 920NY on behalf of an ATP Holder registered as a Market Maker.

A “Market Maker” refers to an ATP Holder that acts as a Market Maker pursuant to Rule 920NY and is referred to as an “NYSE AMERICAN Options Market Maker” in this Fee Schedule.

A “Non-Customer” means anyone who is not a “Customer.”

A “Non-NYSE American Options Market Maker” means a market maker as defined in Section 3(a)(38) of the Securities and Exchange Act of 1934 registered in the same option class on another exchange.

A “Non-Penny” option refers to option classes that do not participate in the Penny Interval Program, as described in Rule 960.1NY.

An “Order Flow Provider” (“OFP”) means any ATP Holder that submits, as agent, orders to the Exchange, per Rule 900.2NY(57).

A “Penny” option refers to option classes that participate in the Penny Interval Program, as described in Rule 960.1NY.

A “Professional Customer” means individual or organization that (i) is not a Broker/Dealer in securities, and (ii) places more than 390 orders in listed options per day on average during a calendar month for its own beneficial account(s), per 900.2NY(18A).

A “Qualified Contingent Cross” or “QCC” trade is a trade that meets the criteria specified in Rule 900.3NY(y) and related Commentary .01.

A “Reserve Floor Market Maker ATP,” per Rule 902NY, refers to an ATP Holder that is a qualified MMAT and acts as a substitute Floor Market Maker during the temporary absence of a Floor Market Maker. A Reserve Floor Market Maker ATP is empowered to act as a qualified MMAT and Floor Market Maker in lieu of the absent Floor Market Maker. When a Floor Market Maker is or will be absent, an ATP Holder that maintains a Reserve Floor Market Maker ATP is required to provide written notice to the Exchange, at least one business day in advance, that it will utilize such Reserve Floor Market Maker ATP. The notice will identify both the Floor Market Maker who will not be utilizing the ATP Holder’s ATP and the MMAT who will be acting as the substitute Floor Market Maker. While the notice is in effect, only the specifically named MMAT acting as a substitute Floor Market Maker will be authorized to utilize the ATP. When the original Floor Market Maker returns, the ATP Holder will provide written notice to the Exchange, and, as of the date specified in the notice, the original Floor Market Maker may resume reliance on the ATP and the MMAT will no longer be able to utilize the ATP.

A “RFR Response” is as defined in Rules 971.1NY and 980NY.

A “Simple Order” is any order to purchase or sell contracts in a single listed option series. A Simple Order is sometimes referred to in NYSE American Rules as a single-leg order (e.g., Rules 928NY and 980NY).

A “Specialist” means an individual or entity that has been deemed qualified by the Exchange for the purpose of making transactions on the Exchange in accordance with the provisions of Rule 920NY, and meets the qualification requirements of Rule 927NY(b). Each

Specialist must be registered with the Exchange as a Market Maker. Any ATP Holder registered as a Market Maker with the Exchange is eligible to be qualified as a Specialist.

“TCADV” refers to Total Industry Customer equity and ETF option average daily volume. TCADV includes OCC calculated Customer volume of all types, including Complex Order transactions and QCC transactions, in equity and ETF options.

A “User,” per Rule 900.2NY(87), is any ATP Holder that is authorized to obtain access to the System pursuant to Rule 902.1NY.

Section I. Options Transaction Fees and Credits⁷

A.Rates for Options transactions. The following transaction fees apply to executions in Option contracts.

Participant	Penny/Non-Penny	Rate Per Contract For Electronic Transactions	Marketing Charges Per Contract for Electronic Transactions ³	Rate Per Contract Manual Transactions ⁸
Broker-Dealer ^{1,5}	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Customer	Penny	\$0.00	N/A	\$0.00
	Non-Penny	\$0.00	N/A	\$0.00
DOMM ^{1,2,3,5}	Penny	\$0.25	\$0.25	N/A
	Non-Penny	\$0.25	\$0.70	N/A
e-Specialist ^{1,2,3,5,6}	Penny	\$0.25	\$0.25	\$0.18
	Non-Penny	\$0.25	\$0.70	\$0.18
Firm ^{1,4,5}	Penny	\$0.47	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Firm Facilitation ¹	Penny	N/A	N/A	\$0.00
	Non-Penny	N/A	N/A	\$0.00
NYSE American Options Market	Penny	\$0.25	\$0.25	\$0.25

Maker ^{1,2,3,5,6,8}	Non-Penny	\$0.25	\$0.70	\$0.25
Non-NYSE American Options Market Maker ^{1,2,5}	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Professional Customer ^{1,5}	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Specialist ^{1,2,3,5,6,8}	Penny	\$0.25	\$0.25	\$0.18
	Non-Penny	\$0.25	\$0.70	\$0.18

¹Royalty Fees described in Section I.K., may also apply.

²NYSE American Options Market Makers may qualify for lower rates for Electronic transactions pursuant to the Market Maker Sliding Scale in section I. C.

³NYSE American Options Market Makers who are counterparties to an Electronic trade with a Customer are liable for Marketing Charges, except as provided in Section I.M. The pool of monies resulting from the collection of Marketing Charges on Electronic non-Directed Orders will be controlled by the Specialist or the e-Specialist with superior volume performance over the previous quarter, unless otherwise designated by the ATP Holder that submits an Electronic non-Directed Order as described below, for distribution by the Exchange at the direction of such Specialist or e-Specialist to eligible payment accepting firms. An ATP Holder that submits an Electronic non-Directed Order to the Exchange may designate an NYSE American Options Market Maker to control to pool of monies resulting from the collection of Marketing Charges, which shall be distributed by the Exchange at the direction of such NYSE American Options Market Maker to payment accepting firms. The pool of monies resulting from collection of Marketing Charges on Electronic Directed Orders will be controlled by the NYSE American Options Market Maker to which the order was directed and distributed by the Exchange at the direction of such NYSE American Options Market Maker to payment accepting firms.

⁴Firms are subject to a Monthly Firm Fee Cap of \$100,000 for fees associated with Manual transactions as more fully described below in Section I. I.

⁵A \$0.12 per contract surcharge will be applied to any Electronic Non-Customer Complex Order that executes against a Customer Complex Order, regardless of whether the execution occurs in a Complex Order Auction (“COA”). The surcharge will not apply to executions in CUBE Auctions. The Exchange will reduce this per contract surcharge to \$0.10 for ATP Holders that achieve at least 0.20% of TCADV of Electronic Non-Customer Complex Orders in a month.

⁶Participants in the Prepayment Program (outlined in Section I.D.) will pay reduced rates for Manual transactions. For each contract transacted manually, NYSE American Options Market Makers will be charged \$0.23 and NYSE American Specialist/e-Specialists will be charged \$0.17.

⁷Options on NYSE FANG+ Index (“FAANG”) transactions. The Exchange will charge \$0.35 per contract, per side for Non-Customer FAANG transactions, whether executed Manually or Electronically. The Exchange will not charge a fee for any FAANG transactions (i) on behalf of Customers or (ii) by NYSE American Options Market Makers, Specialists, e-Specialists or DOMMs. Marketing Charges will not be applied to FAANG transactions. Any volume in FAANG will be included in the calculations to qualify for any volume-based incentives currently being offered on the Exchange. The Exchange will provide a credit to any firm that is an NYSE American Options Market Maker, Specialist, e-Specialist or DOMM that executes a specified minimum number of total monthly contract sides that open a position in FAANG on the Exchange (“eligible contract sides”), as set forth below (“MM FAANG Credit”):

- a credit of \$5,000 for a minimum of 500 eligible contract sides; provided, however, that if more than five firms qualify for this MM FAANG Credit in a calendar month, the \$5,000 MM FAANG Credit for each qualifying firm will be a pro rata share of \$25,000; or
- a credit of \$10,000 for a minimum of 2,000 eligible contract sides; provided, however, that if more than two firms qualify for this MM FAANG Credit in a calendar month, the \$10,000 MM FAANG Credit for each qualifying firm will be a pro rata share of \$25,000. A firm that qualifies for the \$10,000 credit will not be eligible for the \$5,000 credit.

⁸NYSE American Options Market Makers and Specialists that increase their Manual volumes by a specified percentage of TCADV over their August 2019 volume or, for new NYSE American Options Market Makers or Specialists, that increase Manual volume by a specified percentage of TCADV above a base level of 15,000 ADV (“Increased Manual Volume”) are eligible to receive a discounted rate solely on the Increased Manual Volume as follows:

- NYSE American Options Market Makers with Increased Manual Volume of at least 0.15% TCADV will be charged \$0.18 per contract for the Increased Manual Volume. (Specialists already pay \$0.18 per contract for all Manual transactions); and
- NYSE American Options Market Makers and Specialists with an Increased Manual Volume of at least 0.30% TCADV will be charged \$0.12 per contract for the Increased Manual Volume.

Volume from Strategy Executions and QCC Transactions are not included in the Exchange’s calculation of either the base amount or in the Increased Manual Volume.

B.Reserved

C.NYSE American Options Market Maker Sliding Scale – Electronic. NYSE American Options Market Makers are eligible for reduced per contract rates for Electronic options transactions, including those executed via the BOLD Mechanism, as shown in the table below. The rates shown are applicable to monthly volume within a given tier such that the lower per contract rate applies to volume within that higher tier. In calculating Market Maker Electronic monthly volumes, the Exchange will exclude any volumes attributable to QCC trades, CUBE Auctions, or Strategy Execution Fee Caps as these transactions are subject to separate pricing described in Sections I.F., I.G. and I.J., respectively.

Tier	Market Maker Electronic ADV as a % of TCADV	Rate per Contract for Non-Take Volume ¹	Rate per Contract for Take Volume ¹	Prepayment Program Participant Rates	
				Rate per Contract for Non-Take Volume ¹	Rate per Contract for Take Volume ¹
1	0.00% to 0.20%	\$0.25	\$0.25	\$0.22	\$0.24
2	> 0.20% to 0.65%	\$0.22	\$0.24	\$0.18	\$0.22
3	> 0.65% to 1.40%	\$0.12	\$0.17	\$0.09	\$0.13
4	> 1.40% to 2.00%	\$0.09	\$0.14	\$0.06	\$0.10
5	> 2.00%	\$0.06	\$0.09	\$0.03	\$0.06

^{1.} For the purposes of the Sliding Scale transaction charges, all eligible volume that does not remove liquidity will be considered “non-take volume”; whereas all volume that removes liquidity will be considered “take volume.”

D.Prepayment Program. Any NYSE American Options Market Maker is eligible for the rates described in the Market Maker Sliding Scale in Section I. C. A NYSE American Options Market Maker may prepay a portion of the fees it incurs under Section I.C., I.G., I.M., and III.A. In exchange for prepayment of a portion of their Section I.C., I.G., I.M., and III. A. fees, the NYSE American Options Market Maker qualifies for reduced fees under Section I.A., note 7, and Section I.C. and also

qualifies its Affiliated OFP or its Appointed OFP to earn enhanced credits under Section I.E. NYSE American Options Market Makers can commit to a 1-year term (“1 Year Prepayment Program”) or, can commit to prepay for the remainder of the calendar year, effective the following quarter (“Balance of the Year Program”). The choice of a 1 Year Prepayment Program or Balance of the Year Program impacts the enhanced credits an Affiliated OFP or an Appointed OFP of a NYSE American Options Market Maker is eligible for under Section I.E.

The 1 Year Prepayment Program amount is \$3 million, payable by the last business day of January in the respective year (i.e., the year in which prepayments will apply). A NYSE American Options Market Maker that participates in the 1 Year Prepayment Program will receive a credit of \$3 million toward fees it incurs under Section I.C., I.G., I.M., and III.A. The prepayment amount and payment schedule for the Balance of the Year Program is based on the quarter in which the NYSE American Options Market Maker joins, as set forth below:

Balance of the Year Program	2nd Quarter	3rd Quarter	4th Quarter
Prepayment Amount and Payment Schedule	\$2,475,000, due by last business day in April	\$1,800,000, due by last business day in July	\$975,000, due by last business day in October

A NYSE American Options Market Maker that participates in the Balance of the Year Program will receive a credit equal to its prepayment amount (i.e., \$2,475,000; \$1,800,000; or \$975,000, respectively) toward fees it incurs under Section I.C., I.G., I.M., and III.A. Once the prepayment credit has been exhausted, the Exchange will invoice the NYSE American Options Market Maker at the applicable rates under Section I.C., I.G., I.M., and III.A. In the event that a NYSE American Options Market Maker does not conduct sufficient activity to exhaust the entirety of their prepayment credit within the calendar year, there will be no refunds issued for any unused portion of their prepayment credit.

To participate in the 1 Year Prepayment Program or the Balance of the Year Program, interested NYSE American Options Market Makers must notify the Exchange in writing by emailing optionsbilling@nyse.com, indicating to which prepayment term they are committing. To participate in the Balance of the Year Program, NYSE American Options Market Makers must send an email to the Exchange by the last business day before the start of the new (following) quarter. The email to enroll in the Prepayment Program must originate from an officer of the NYSE American Options Market Maker firm and, except as provided for below, represents a binding commitment for the 1 year term, or the Balance

of the Year Program to which the NYSE American Options Market Making firm commits, requiring payment according to the schedule described above.

E.American Customer Engagement (“ACE”) Program. The per contract credits in the table below apply to Electronic options transactions, including those executed via the BOLD Mechanism. The credits are payable to the OFP that submits, as agent, orders to the Exchange, and are payable only on Customer volume.

As shown in the table below, the ACE Program offers the following two methods for OFPs to receive credits:

1. By calculating, on a monthly basis, the average daily Customer contract volume an OFP executes Electronically on the Exchange as a percentage of TCADV;
OR
2. By calculating, on a monthly basis, the average daily contract volume an OFP executes Electronically in all participant types (*i.e.*, Customer, Firm, Broker-Dealer, NYSE American Options Market Maker, Non-NYSE American Options Market Maker, and Professional Customer) on the Exchange, as a percentage of TCADV, with the further requirement that a specified percentage of the minimum volume required to qualify for the Tier must be Customer volume.

In calculating an OFP’s Electronic volume, the Exchange will exclude volume resulting from Mini Options and QCC trades, as these transactions are subject to separate fees and/or credits. Also excluded from an OFP’s Electronic volume calculation is any volume attributable to orders routed to another exchange in connection with the Options Order Protection and Locked/Crossed Market Plan referenced in Rule 991NY. Any volume excluded from an OFP’s Electronic volume calculation is ineligible for credits shown in the table below.

Volume resulting from CUBE Auction executions will be included in an OFP’s Electronic volume calculation for purposes of the ACE Program, but is ineligible for credits shown in the table below because there are separate credits paid for certain CUBE Auction volumes in Section I. G Volume resulting from executions via the BOLD Mechanism will be included in an OFP’s Electronic volume calculation for purposes of the ACE Program.

In calculating an OFP’s Electronic volume, the Exchange will include the activity of either (i) Affiliates of the OFP, such as when an OFP has an Affiliated NYSE American Options Market Making firm, or (ii) an Appointed MM of such OFP.

An OFP must email the Exchange at optionsbilling@nyse.com and provide the Exchange with a list of its Affiliates in order for those Affiliates' activity to be included with the OFP's activity in calculating such OFP's Electronic volume.

Under the ACE Program, an OFP will earn the highest per contract credit for which it qualifies on all eligible Customer volume, retroactive to the first contract traded in a month. In the event that an OFP is eligible for credits under both calculation methods, the OFP will be paid the highest per contract credit for all the OFP's eligible volume.

The credits shown under the "1 Year Enhanced/Balance of the Year Program Customer Volume Credits" are only available to those OFPs who have an Affiliated NYSE American Options Market Making firm or an Appointed MM that has committed to the 1 Year Prepayment Program or the Balance of the Year Program as described in Section I.D.

Designating an Appointed OFP/Appointed MM: An NYSE American Options Market Maker appoints an OFP and an OFP appoints an NYSE American Options Market Maker, for the purposes of the Fee Schedule, by each sending an email to optionsbilling@nyse.com. These corresponding emails will be viewed as acceptance of the appointment. The Exchange will recognize one such designation for each party. A party may make a designation not more than once every 12-months, which designation shall remain in effect unless or until the Exchange receives an email from either party indicating that the appointment has been terminated.

	ACE Program			Credits Payable On Customer Volume Only			
Tier	Customer Electronic ADV as a % of TCADV	O R	Total Electronic ADV (of which 20% or greater of the minimum qualifying volume for each Tier must be Customer) as a % of TCADV	Customer Volume Credits		1 Year /Balance of the Year Program Enhanced Customer Volume Credits	
				Simple	Complex ¹	Simple	Complex ¹
Base	<0.40%		N/A	\$0.00	\$0.00	\$0.00	\$0.00
1	0.40% to 0.75%		N/A	(\$0.12)	(\$0.19)	(\$0.13)	(\$0.19)

2	> 0.75% to 1.00%		N/A	(\$0.14)	(\$0.19)	(\$0.15)	(\$0.20)
3	>1.00% to 1.25%		1.50% to 2.50% of which 20% or greater of 1.50% must be Customer	(\$0.17)	(\$0.19)	(\$0.20)	(\$0.20)
4	> 1.25 to 1.75%		> 2.50% to 3.50% of which 20% or greater of 2.50% must be Customer	(\$0.19)	(\$0.20)	(\$0.21)	(\$0.22)
5	>1.75%		>3.50% of which 20% or greater of 3.5% must be Customer	(\$0.21)	(\$0.22)	(\$0.24)	(\$0.24)

1. The credit for Customer Complex Order executions will be provided regardless of whether the Complex Order trades against interest in the Complex Order Book or with individual orders and quotes in the Consolidated Book. An OFP that achieves Tier 4 or Tier 5, and executes more than 0.50% of TCADV in Initiating CUBE Orders in a calendar month, will receive an alternative credit of \$0.25 per contract, per leg on Electronic Customer Complex Order transactions.

F.QCC Fees & Credits. The table below describes the per contract fees and credits applicable to volume executed as part of a QCC trade.

Participant	Per Contract Fee or Credit
Customer and Professional Customer	\$0.00
Non-Customer excluding Specialists and e-Specialists	\$0.20
Specialists and e-Specialists	\$0.13
Floor Brokers executing 300,000 or fewer contracts in a month ¹	(\$0.07)
Floor Brokers executing more than 300,000 contracts in a month ¹	(\$0.10)

¹ Floor Brokers will not receive a credit for QCC trades that have a Customer or Professional Customer, or both, on both sides of the trade. For example, a Floor Broker executing as a QCC trade an order from a Customer buying 1,000 ABC Dec 40 Calls and an order from a Professional Customer selling 1,000 ABC Dec 40 Calls at \$2.00 will not be eligible for the Floor Broker credits.

The Floor Broker credit will not apply to any QCC trades that are included in the Strategy Cap (per Section I.J.). The Floor Broker credit is paid only on volume within the applicable tier and is not retroactive to the first contract traded. The maximum Floor Broker credit paid shall not exceed \$525,000 per month per Floor Broker firm.

G.CUBE Auction Fees & Credits. The following tables describe the per contract fees and credits for executions associated with CUBE Auctions.

Single-Leg CUBE Auction	
Participant/Penny or Non-Penny	Per Contract Fee or Credit
CUBE Order Fee Customer – All issues	\$0.00
CUBE Order Fee Non-Customer – All issues	\$0.20
Contra Order Fee – All issues	\$0.05
RFR Response Fee Customer – All issues	\$0.00
RFR Response Fee Non-Customer – Penny	\$0.50
RFR Response Fee Non-Customer – Non-Penny	\$1.05
Initiating Participant Credit - Penny	(\$0.30) ¹
Initiating Participant Credit - Non-Penny	(\$0.70) ¹
ACE Initiating Participant Rebate – All issues	(\$0.12) ²
Alternative Initiating Participant Rebate – All issues	(\$0.10) ²

¹ Initiating Participant Credits are payable to the Initiating Participant for each contract in a Contra Order paired with a CUBE Order that does not trade with the CUBE Order because it is replaced in the auction.

² Both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate (collectively, the “Rebate” as used here) are applied to each of the first 5,000 Customer contracts of a CUBE Order executed in a CUBE Auction. This Rebate is in addition to any additional credits set forth above. Only ATP Holders who qualify for Tiers 1, 2, 3, 4 or 5 of the ACE Program are eligible to receive the ACE Initiating Participant Rebate. ATP Holders that execute a minimum of 5,000 contracts

ADV in the Professional range, as defined in Section I.H., and also increase their Initiating CUBE Orders by the greater of 40% over their August 2019 volume or 15,000 contracts ADV are eligible to receive the Alternative Initiating Participant Rebate. An ATP Holder that qualifies for both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate would be entitled only to the greater of the two rebates.

Complex CUBE Auction	
Participant/Penny or Non-Penny	Per Contract Fee or Credit
Complex CUBE Order Fee Customer – All issues	\$0.00
Complex CUBE Order Fee Non-Customer – All issues	\$0.20
Complex Contra Order Fee – Penny	\$0.05
Complex Contra Order Fee – Non-Penny	\$0.07
RFR Response Fee Customer – All issues	\$0.00
RFR Response Fee Non-Customer – Penny	\$0.50
RFR Response Fee Non-Customer – Non-Penny	\$1.05
Initiating Participant Credit – Penny	See table below ¹
Initiating Participant Credit – Non-Penny	See table below ¹
ACE Initiating Participant Rebate – All issues	(\$0.10) ²
Alternative Initiating Participant Rebate – All issues	(\$0.10) ²

¹ Initiating Participant Credits are payable to the Initiating Participant for each contract in a Complex Contra Order paired with a Complex CUBE Order that does not trade with the Complex CUBE Order because it is replaced in the auction. ATP Holders who qualify for ACE Tiers 2, 3, 4, or 5 are eligible to receive enhanced Initiating Participant Credits, based on Tier, as set forth below. ATP Holders who qualify for ACE Tier 5, and execute more than 1% TCADV in monthly Initiating Complex CUBE Orders are eligible to receive an alternative enhanced Initiating Participant Credits of (\$0.45) per contract for Penny issues and (\$0.90) per contract for Non-Penny issues.

² Both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate (collectively, the “Rebate” as used here) are applied to each of the first 1,000 contracts per leg of a Complex CUBE Order executed in a Complex CUBE Auction. This Rebate is in addition to any additional credits set forth above. Only ATP Holders who qualify for Tiers 1, 2, 3, 4 or 5 of the ACE Program are eligible to receive the additional ACE Initiating Participant Rebate. ATP Holders that execute a minimum of 5,000 contracts ADV in the Professional range, as defined in Section I.H., and also increase their Initiating CUBE Orders in Single-Leg CUBE Auctions by the greater of 40% over their August 2019 volume or 15,000 contracts ADV are eligible to receive the Alternative Initiating Participant Rebate. An ATP Holder that qualifies for both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate would be entitled only to the greater of the two rebates.

Initiating Participant Credit		
Base/ACE Tier	Penny	Non-Penny
Base or Tier 1	(\$0.20)	(\$0.50)
Tier 2	(\$0.23)	(\$0.55)
Tier 3	(\$0.26)	(\$0.60)
Tier 4	(\$0.28)	(\$0.65)
Tier 5	(\$0.35)	(\$0.75)

H. Professional Step-Up Incentive. ATP Holders that increase their Electronic volume in the Professional Customer, Broker Dealer, Non-NYSE American Options Market Maker, and Firm ranges (collectively, for the purposes of this program, the “Professional” range) by specified percentages of TCADV over their August 2019 volume (or, for new ATP Holders that increase Electronic Professional volume by a specified percentages of TCADV above 10,000 contracts ADV) (the “Qualifying Volume”) are eligible to receive discounted rates on their total monthly Professional Volume and credits on

their monthly Customer Electronic volume at the same rate as participants that achieve Tier 1 in the ACE Program, as outlined in the table below. Volumes from Strategy Executions, CUBE Auctions, and QCC Transactions are not included in the calculation of base volume amounts nor in calculation of Qualifying Volume.

Professional Step-Up Incentive				
	Qualifying Volume as a % of TCADV	Per Contract Penny Rate	Per Contract Non-Penny Rate	ACE Benefits
Tier A	0.12%	\$0.35	\$0.60	Tier 1
Tier B ¹	0.15%	\$0.20	\$0.50	Tier 1

¹ ATP Holders that increase Qualifying Volume by 0.20% of TCADV and execute posted Professional volume (i.e., that adds liquidity) of at least 0.10% of TCADV will receive a \$0.03 per contract discount off the Tier B rates.

I.Firm Monthly Fee Cap. The Monthly Firm Fee Cap for Manual transactions will aggregate the fees associated with Firm Manual transactions and cap them at \$100,000 per month per Firm. Once a Firm has reached the Firm Monthly Fee Cap, an incremental service fee of \$0.01 per contract for Firm Manual transactions will apply, except for the execution of a QCC order, in which case there is no incremental service fee. Any fee or volume associated with a Strategy Execution described in Section I.J., (e.g., reversal and conversion, box spread, short stock interest spread, merger spread and jelly roll) will not be counted toward the \$100,000 cap. Royalty Fees will continue to be charged at the rates described in Section I. K., and do not count toward the \$100,000 fee cap. Firm Facilitation Manual trades will continue to be executed at the rate of \$0.00 per contract regardless of whether a Firm has reached the \$100,000 cap or not. The Monthly Firm Fee Cap will decrease as set forth in the table below if Firms achieve the tier level set forth in the ACE Program.

ACE Tier	Firm Fee Cap
Base or 1	\$100,000
2	\$85,000

3	\$75,000
4	\$70,000
5	\$65,000

Complex CUBE Cap Incentive. A Firm may include the following transaction volume (in addition to Firm Manual and QCC transactions) under the Firm Fee Monthly Cap if the Firm achieves an increase over its January 2019 Initiating Complex CUBE Volume of at least 0.15% of TCADV:

- Broker Dealer Manual transactions; and
- Broker Dealer QCC transactions.

For Firms that qualify for Complex CUBE Cap Incentive and attain the Firm Fee Cap, an incremental service fee of \$0.01 per contract will also apply to Broker Dealer Manual transactions and an incremental service fee of \$0.10 per contract will apply to Broker Dealer QCC transactions that exceed 25,000 contracts ADV. Firms are still eligible for a reduced Monthly Fee Cap based on ACE Tier achieved.

J.Strategy Execution Fee Cap. There is a \$1,000 cap on transaction fees for options Strategy Executions involving (a) reversals and conversions, (b) box spreads, (c) short stock interest spreads, (d) merger spreads, and (e) jelly rolls, which are described below. The cap applies to all Strategy Executions on the same trading day. All Royalty Fees, described in Section I.K., associated with Strategy Executions on Index and ETFs will be passed through to trading participants on the Strategy Executions on a pro-rata basis and will not be included in the calculation of the \$1,000 per trade cap. Manual Broker-Dealer and Firm Strategy trades that do not reach the \$1,000 cap will be billed the rate specified in Section 1.A. for Manual transactions. Any qualifying Strategy Execution executed as a QCC order will not be eligible for this fee cap, except that a reversal and conversion strategy executed as a QCC order will be eligible for this fee cap.

a.Reversals and Conversions. A “reversal” is established by combining a short security position with a short put and a long call position that shares the same strike and expiration. A “conversion” is established by combining a long position in the underlying security with a long put and a short call position that shares the same strike and expiration.

- b.Box spread. A “box spread” is defined as transactions involving a long call option and a short put option at one strike, combined with a short call option and long put at a different strike, to create synthetic long and synthetic short stock positions, respectively.
- c.Short stock interest spread. A “short stock interest spread” is defined as transactions done to achieve a short stock interest arbitrage involving the purchase, sale and exercise of in-the–money options of the same class.
- d.Merger spread. A “merger spread” is defined as transactions done to achieve a merger arbitrage involving the purchase, sale and exercise of options of the same class and expiration date, each executed prior to the date on which shareholders of record are required to elect their respective form of consideration, i.e., cash or stock.
- e.Jelly rolls. A “jelly roll” is created by entering into two separate positions simultaneously. One position involves buying a put and selling a call with the same strike price and expiration. The second position involves selling a put and buying a call, with the same strike price, but with a different expiration from the first position.

K.Royalty Fees. Royalty Fees are charged to all participants other than Customers as outlined below for both Electronic and Manual transactions.

KBW Bank Index (BKX) - \$0.10 per contract

L.Routing Surcharge. The Routing Surcharge is assessed on all non-Customer orders routed to away markets and on Customer orders including Professional Customer orders that are charged transaction fees at another exchange. If the executing exchange does not charge a transaction fee for the execution of the Customer order, the Routing Surcharge will be waived. The Routing Surcharge will be made up of \$0.11 per contract plus (i) any transaction fees assessed by the away exchange(s) (calculated on an order-by-order basis since different away exchanges charge different amounts) or (ii) if the actual transaction fees assessed by the away exchange(s) cannot be determined prior to the execution, the highest per contract charge assessed by the away exchange(s) for the relevant option class and type of market participant (e.g., Customer, Firm, Broker/Dealer, Professional Customer or Market Maker). The Routing Surcharge is in addition to NYSE American’s customary execution fees applicable to the order.

M.BOLD Mechanism Fees & Credits. The following transaction fees and credits apply to orders executed via the BOLD Mechanism.¹

Participant	Initiating BOLD Orders	Responding BOLD Orders
Customer	Better of (\$0.12) or qualified credit available via the ACE Program, per Section I.E.	\$0.00
Non-Customer and Professional Customer	Standard Transaction Fees based on Participant type and Penny/Non-Penny category, Section I.A.	Standard Transaction Fees based on Participant type and Penny/Non-Penny category, Section I.A.

- ¹ NYSE American Options Market Makers will not be assessed Marketing Charges for transactions resulting from the BOLD Mechanism.

Section II. Monthly Excessive Bandwidth Utilization Fees

The Order to Trade Ratio Fee and the Messages to Contracts Traded Ratio Fee (described below) are referred to collectively as the Excessive Bandwidth Utilization Fees. In the event that an ATP Firm is liable for either or both of the Excessive Bandwidth Utilization Fees in a given month, that firm would only be charged the greater of the two fees. The Monthly Excessive Bandwidth Utilization Fee will not be assessed for the first occurrence in a rolling 12-month period. The Exchange may exclude one or more days of data for purposes of calculating the Excessive Bandwidth Utilization Fees for an ATP Firm if the Exchange determines, in its sole discretion, that one or more ATP Firms or the Exchange was experiencing a bona fide systems problem.

A. Order to Trade Ratio Fees. The Order to Trade Ratio Fee is calculated on a monthly basis and shown in the table below. Orders that improve the Exchange's prevailing best bid-offer (BBO) market at the time the orders are received will not be included in the order to execution ratio.

Monthly Order to Execution Ratio	Monthly Charge
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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

B.Messages to Contracts Traded Ratio Fees. For purposes of this Fee, a “message” is defined as a quote and/or an order. The Messages to Contracts Traded Ratio Fee is \$0.005 per 1,000 messages in excess of a level that would be no less than 2 billion and no more than 10 billion messages in a calendar month if the ATP Holder does not execute at least 1 contract for every 1,500-5,000 messages, as determined by the Exchange. Quotes that set or match the National Best Bid-Offer (NBBO) market at the time the quotes are received will not be included in the Messages to Contracts Ratio. Quotes submitted by a Specialist or e-Specialist in their allocated issues will not be included in the Messages to Contracts Ratio. The Exchange shall notify ATP Holders of any change to the number of messages entered to be used to calculate the Fee at least one business day in advance of such change via a Trader Update and such number shall be applicable in the following calendar month and thereafter unless or until it is changed. ATP Holders acting as NYSE American Options Market Makers will receive an additional one million messages per month (beyond the current threshold level of messages) for each option issue in their Market Maker appointment if they execute in the aggregate across all options issues in their assignment at least 20,000 contracts average daily volume electronically per month as a NYSE American Options Market Maker.

In calculating this Fee, the Exchange will aggregate activity of Affiliated OFPs and NYSE American Options Market Maker firms provided the NYSE American Options Market Maker emails the Exchange at optionsbilling@nyse.com with a list of its Affiliated entities to request to have activity aggregated.

Section III. Monthly Trading Permit, Rights, Floor Access and Premium Product Fees

A.Monthly ATP Fees. ATP fees are charged based on the maximum number of ATPs held during the month, according to the table shown below. The “Bottom 45%” refers to the least actively traded issues on the Exchange, ranked by industry volume, as reported by the OCC for each issue during the calendar quarter. Each calendar quarter, with a one-month lag, the Exchange will publish on its website a list of the Bottom 45% of issues traded. Any newly listed

issues will automatically become part of the Bottom 45% until the next evaluation period, at which time they may or may not remain part of the Bottom 45% list depending upon their trading volumes and resultant rank among all issues traded on the Exchange.

ATP Type	Monthly Fee Per ATP²	Number Of Issues Permitted In A Market Makers Quoting Assignment
Floor Broker	\$500	N/A
Order Flow Provider	\$1,000	N/A
Clearing Member	\$1,000	N/A
NYSE American Options Market Maker 1st ATP	\$8,000	60 plus the Bottom 45%
NYSE American Options Market Maker 2nd ATP	\$6,000	150 plus the Bottom 45%
NYSE American Options Market Maker 3rd ATP	\$5,000	500 plus the Bottom 45%
NYSE American Options Market Maker 4th ATP	\$4,000	1,100 plus the Bottom 45%
NYSE American Options Market Maker 5th ATP	\$3,000	All issues traded on the Exchange
NYSE American Options Market Maker 6th to 9 th ATP	\$2,000	All issues traded on the Exchange
NYSE American Options Market Maker 10 th or more ATPs	\$500	All issues traded on the Exchange
NYSE American Options Floor Market Maker 1st ATP ¹	\$5,000	60 plus the Bottom 45%
NYSE American Options Floor Market Maker 2nd ATP ¹	\$5,000	150 plus the Bottom 45%
Reserve Floor Market Maker ATP	\$175	N/A

¹.An NYSE American Options Floor Market Maker ATP is a Floor Market Maker that purchases no more than two ATPs per month and transacts at least 75% of its volume, excluding QCC and Strategy Executions, as Manual trades in open outcry on the Trading Floor.

². An ATP Holder that is not currently an NYSE American Options Market Maker (“Market Maker”) and enrolls to operate as an Market Maker on the Exchange may be entitled to introductory pricing on its ATP Fees for up to six months, beginning the first month in which it registers (each a “Newly Enrolled MM”). For the first three months (i.e., months 1-3), the Exchange will waive the ATP fees for a Newly Enrolled MM. For latter three months (i.e., months 4-6), the Exchange will discount such ATP fees by 50%, unless the Newly Enrolled MM achieves a monthly ADV equal to at least 0.05% of TCADV, at which time the Exchange would charge the Newly Enrolled MM 100% of its ATP Fees for the remaining months, regardless of the Newly Enrolled MM’s monthly ADV in subsequent months. An ATP Holder may qualify for this introductory pricing only once in a 24-month period, which period begins in the first month the ATP Holder registers on the Exchange.

B.Floor Access Fee. \$125 per month for all registered Floor personnel that do not pay Monthly ATP Fees. Beginning July through the earlier of the first full month of a full reopening of the Trading Floor facilities to Floor personnel or December 2020 only, this fee is waived for Floor Broker firms that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels (or, for firms that began Floor operations after March 2020, more than 50% of their Exchange-approved on-Floor staffing levels) and for Market Maker firms that have vacant or “unmanned” Podia for the entire month due to COVID-19 related considerations (the “Qualifying Firms”).

C.e-Specialist, DOMM and Specialist Monthly Rights Fees.¹ Rights Fees will be allocated to Specialists, e-Specialists and DOMMs based on their prorated share of contract volume on the Exchange in each issue. This fee is in addition to the Market Maker Fee and will be billed on a per issue basis to the ATP Holder acting as Specialist, e-Specialist, or DOMM in the issue. Average National Daily Customer Contracts Per Issue is calculated based on public customer contracts traded using a rolling three month basis with a one month lag. Professional Customer orders will be treated as Customer orders for purposes of this calculation. Where the Specialist, the e-Specialist, or DOMMs transact zero volume in a month, the Exchange splits the Rights Fee equally among the Specialist and e-Specialist, such that each Specialist and e-Specialist participant is liable for 50% of the Rights Fee. In the event that there is only a Specialist or e-Specialist and there are no DOMM volumes, then that sole Specialist or e-Specialist incurs 100% of the Rights Fee applicable to the option issue. The Rights Fees are shown in the table below.

Average National Daily Customer Contracts Per Issue	Monthly Base Rate Per Issue
0 to 200	\$50
201 to 2,000	\$60
2,001 to 5,000	\$150
5,001 to 15,000	\$375
15,001 to 100,000	\$1,250
Over 100,000	\$2,000

¹FAANG is exempt from the Rights Fees.

Rights Fee Discounts: Specialists, e-Specialists, and DOMM may be eligible for one of two discounts, the greater of which will be applied to their monthly Rights Fee (if both discounts would apply). Any Specialist, e-Specialist, or DOMM that participates in the Prepayment Program (outlined in Section I.D.) will be eligible for a 20% discount to their Rights Fee. Alternatively, any Specialist, e-Specialist, or DOMM that achieves one of the Tiers in the ACE Program (outlined in Section I.E.) will be eligible for a discount on their Rights Fees, as set forth below.

Rights Fee Discount	
ACE Tier	Discount on Rights Fees
Base	0%
1	0%
2	0%
3	20%
4	30%
5	40%

D.NYSE American Options Market Maker Monthly Premium Product Fee.¹ The Exchange assesses a monthly fee to any NYSE American Options Market Maker, other than a Market Maker that qualifies as an NYSE American Options Floor Market Maker as described in note 1 to Section III.A., transacting in any Premium Products in the Table below during any given month. The maximum monthly Premium Product Fees for any single NYSE American Options Market Maker firm is \$7,000 per month.

The Premium Product Fees are shown in the table below.

Premium Product Symbol	Monthly Premium Product Fee
SPY	\$1,000
AAPL	\$1,000
IWM	\$1,000
QQQ	\$1,000
BABA	\$1,000
BAC	\$1,000
EEM	\$1,000
FB	\$1,000
USO	\$1,000
VXX	\$1,000

¹. An ATP Holder that is not currently an NYSE American Options Market Maker (“Market Maker”) and enrolls to operate as a Market Maker on the Exchange may be entitled to introductory pricing on its Premium Products Fees for up to six months, beginning the first month in which it registers (each a “Newly Enrolled MM”). For the first three months (i.e., months 1-3), the Exchange will waive the Premium Product Fees for a Newly Enrolled MM. For latter three months (i.e., months 4-6), the Exchange will discount such Premium Product Fees by 50%, unless the Newly Enrolled MM achieves a monthly ADV equal to at least 0.05% of TCADV, at which time the Exchange would charge the Newly Enrolled MM 100% of its Premium Product Fees for the remaining months, regardless of

the Newly Enrolled MM’s monthly ADV in subsequent months. An ATP Holder may qualify for this introductory pricing only once in a 24-month period, which period begins in the first month the ATP Holder registers on the Exchange.

E. Floor Broker Incentive and Rebate Programs

1. Floor Broker Fixed Cost Prepayment Incentive Program (the “FB Prepay Program”)

The FB Prepay Program affords each Floor Broker organization the opportunity to prepay its annual “Eligible Fixed Costs” (set forth in the table below) for the following calendar year.

ELIGIBLE FIXED COSTS
Section III.A. Monthly ATP Fees
Section III.B. Floor Access Fee
Section IV. Monthly Floor Communication, Connectivity, Equipment and Booth or Podia Fees as listed below: Login Transport Charges Booth Premises Telephone Service Cellular Phones Booth Telephone System - Line Charge Booth Telephone System - Single line phone jack and data jack Wire Services

Participants in the FB Prepay Program qualify for rebates expressed through Tiers by achieving growth in billable manual volume by a certain percentage as measured against one of two benchmarks (“Percentage Growth Incentive”). The Percentage Growth Incentive excludes Customer volume, Firm Facilitation trades, and QCCs. Any volume calculated to achieve the Firm Monthly Fee Cap and the Strategy Execution Fee Cap, regardless of whether either of these caps is achieved, will likewise be excluded from the Percentage Growth Incentive because fees on such volume are already capped and therefore such volume does not increase billable manual volume.

To qualify for the Percentage Growth Incentive, a participating Floor Broker organization must increase their ADV for the calendar year, above the greater of:

- (i) 20,000 contract sides in billable manual ADV; or
- (ii) 105% of the Floor Broker’s total billable manual ADV in contract sides during the second half of 2017 – i.e., July through December 2017.

When calculating the increase in a Floor Broker organization’s ADV, the Exchange may exclude any trading day when open outcry on the Trading Floor is unavailable for a full day. Eligible Floor Broker organizations are entitled to an annual rebate that is the greater of the “Total Percentage Reduction of pre-paid annual Eligible Fixed Costs” or the “Alternative Rebate” based upon the Percentage Growth Incentive Tier achieved, as set forth in the table below:

FB Prepayment Program Incentives (based on annual ADV in contract sides for the calendar year)			
Tier	Percentage Growth Incentive	Total Percentage Reduction of pre-paid annual Eligible Fixed Costs	Alternative Rebate
Tier 1	5%	10%	\$2,000/month
Tier 2	30%	50%	\$4,000/month
Tier 3	50%	80%	\$8,000/month
Tier 4	100%	100%	\$16,000/month

To participate in the FB Prepay Program, Floor Broker organizations must notify the Exchange in writing by emailing optionsbilling@nyse.com, indicating a commitment to submit prepayment for the following calendar year, by no later than the last business day of December in the current year. The email to enroll in the Program must originate from an officer of the Floor Broker organization and, except as provided for below, represents a binding commitment through the end of the following calendar year. Payment must be received in full by the close of business on the last business day of January. A Floor Broker organization that commits to the Program will be invoiced in January for Eligible Fixed Costs, based on annualizing their Eligible Fixed Costs incurred in the previous November. The Exchange will not issue any refunds in the event that a Floor Broker organization’s prepaid Eligible Fixed Costs exceeds such actual annual costs, except that the Exchange will refund certain of the prepaid Eligible Fixed costs that were waived for July through September 2020 for Qualifying Firms, as

defined, and set forth in, Sections III.B and IV. Participating Floor Broker organizations that qualify for the Percentage Growth Incentive will receive their rebate in the following January.

2. **Floor Broker Billable Volume Rebate (the “FB Billable Volume Rebate”)**. A Floor Broker organization is eligible to achieve a rebate of \$35,000 for each month it achieves certain ADV in billable ADV.

The calculation for billable ADV applies to manual executions and QCCs, but excludes any Customer volume and non-billable Professional Customer QCC volume, Firm Facilitation trades, and any volume calculated to achieve the Firm Monthly Fee Cap and the Strategy Execution Fee Cap, regardless of whether either of these caps is achieved.

To achieve the FB Billable Volume Rebate, a Floor Broker organization must execute the greater of:

(i) 75,000 contract sides in billable ADV or

(ii) 150% of the Floor Broker’s total billable ADV in contract sides during the first half of 2019 (i.e., January - June 2019).

Section IV. Monthly Floor Communication, Connectivity, Equipment and Booth or Podia Fees

Beginning July through the earlier of the first full month of a full reopening of the Trading Floor facilities to Floor personnel or December 2020 only, the Exchange will waive certain fees for Floor Broker firms that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels (or, for firms that began Floor operations after March 2020, more than 50% of their Exchange-approved on-Floor staffing levels) and for Market Maker firms that have vacant or “unmanned” Podia for the entire month due to COVID-19 related considerations (the “Qualifying Firms”). The fees waived for Qualifying Firms include those associated with Floor Broker Handheld, Transport Charges, Floor Market Maker Podia, Booth Premises, and Wire Services as indicated below.

Description	Fees
Floor Broker Handheld	Waived for Qualifying Firms \$450 per device per month
Login	\$215 per month per Exchange sponsored Floor Broker order entry system

Transport Charges	Waived for Qualifying Firms \$150 per month per floor participant connection capped at \$500 per month per Floor Broker firm
Floor Market Maker Podia	Waived for Qualifying Firms \$90 per month for each floor market maker
Booth Premises	Waived for Qualifying Firms \$40 per linear foot per month
Telephone Service - Toll call billed by vendor plus a surcharge	Toll calls \$0.00 to \$0.68 incur a surcharge of \$0.16 Toll calls of \$0.69 or greater incur a surcharge of \$0.26
Cellular Phones	\$20 per month plus the cost of the calling plan of the user's choice
Booth Telephone System - Line Charge	\$33.33 per phone number per month
Booth Telephone System - Single line phone jack and data jack	\$10.75 per month
Wire Services	Waived for Qualifying Firms Pass-through of fees from vendor
Turrets	Contracted directly with the vendor
Market Data	Contracted directly with the vendor
Telecom Move/Add/Change Fee	Pass-through of fees from vendor

Section V. Technology & System Access Fees

A.Port Fees. The Exchange assesses a monthly Port Fee to any User for Ports to connect to the Exchange. For purpose of calculating the number of order/quote entry ports and quote takedown ports, the Exchange will aggregate the ports of Affiliates. The monthly Port Fees are charged according to the table below.

Port Type	Port Fee
Order/Quote Entry Port	Ports 1-40: \$450 per port per month

	Ports 41 and greater: \$150 per port per month
Quote Takedown Port	For each order/quote entry port utilized, NYSE American Options Market Makers may utilize, free of charge, one port dedicated to quote cancellation or “quote takedown,” which port(s) will not be included in the count of order/quote entry ports utilized. Any quote takedown port utilized by a NYSE American Options Market Maker that is in excess of the number of order/quote entry ports utilized will be counted and charged as an order/quote entry port.
NYSE American Options Market Maker Open Outcry Discount	Any NYSE American Options Market Maker that executes 50% or more of their Market Maker volume in open outcry shall receive a discount on their monthly port fees of 60%, not to exceed a maximum dollar discount of \$10,000 per month
Backup datacenter Port Used For Order/Quote Entry	No fee unless utilized during the relevant month, in which case, above fees shall apply
Drop Copy Port	\$500 per port per month (only one fee per drop copy port shall apply, even if receiving drop copies from multiple order/quote entry ports)
Backup datacenter Port Used For Drop Copy	No fee shall apply if configured such that it is duplicative of another drop copy port of the same user

B.Co-Location Fees.

Definitions

The following definitions are for purposes of Co-Location Fees only:

An “Affiliate” of a User is any other User or Hosted Customer that is under 50% or greater common ownership or control of the first User.

“Aggregate Cabinet Footprint” of a User or Hosted Customer is (a) for a User, the total kW of the User’s cabinets, including both partial and dedicated cabinets, and (b), for a Hosted Customer, the total kW of the portion of the Hosting User’s cabinet, whether partial or dedicated, allocated to such Hosted Customer.

A “Hosted Customer” means a customer of a Hosting User that is hosted in a Hosting User’s co-location space.

A “Hosting User” means a User of co-location services that hosts a Hosted Customer in the User’s co-location space.

A “User” means any market participant that requests to receive co-location services directly from the Exchange.

General Notes

1. A User that incurs co-location fees for a particular co-location service pursuant to this Fee Schedule shall not be subject to co-location fees for the same co-location service charged pursuant to the NYSE American Equities Price List or by the Exchange’s affiliates New York Stock Exchange LLC (NYSE), NYSE Arca, Inc. (NYSE Arca), NYSE Chicago, Inc. (NYSE Chicago), and NYSE National, Inc. (NYSE National).
2. To qualify for a Partial Cabinet Solution bundle, a User must meet the following conditions: (1) it must purchase only one Partial Cabinet Solution bundle; (2) the User and its Affiliates must not currently have a Partial Cabinet Solution bundle; and (3) after the purchase of the Partial Cabinet Solution bundle, the User, together with its Affiliates, will have an Aggregate Cabinet Footprint of no more than 2 kW.

- A User requesting a Partial Cabinet Solution bundle will be required to certify to the Exchange (a) whether any other Users or Hosted Customers are Affiliates of the certifying User, and (b) that after the purchase of the Partial Cabinet Solution bundle, the User, together with its Affiliates, would have an Aggregate Cabinet Footprint of no more than 2 kW. The certifying User will be required to inform the Exchange immediately of any event that causes another User or Hosted Customer to become an Affiliate. The Exchange shall review available information regarding the entities and may request additional information to verify the Affiliate status of a User or Hosted Customer. The Exchange shall approve a request for a Partial Cabinet Solution bundle unless it determines that the certification is not accurate.
- If a User that has purchased a Partial Cabinet Solution bundle becomes affiliated with one or more other Users or Hosted Customers and thereby no longer meets the conditions for access to the Partial Cabinet Solution bundle, or if the User otherwise ceases to meet the conditions for access to the Partial Cabinet Solution bundle, the Exchange will no longer offer it to such User and the User will be charged for each of the services individually, at the price for each such service set out in the Price List. Such price change would be effective as of the date that the User ceased to meet the conditions.

In addition, a User that changes its Partial Cabinet Solution bundle from one option to another will not be subject to a second initial charge, but will be required to pay the difference, if any, between the bundles' initial charges.

3. The initial and monthly charge for 2 bundles of 24 cross connects will be waived for a User that is waitlisted for a cage for the duration of the waitlist period, provided that the cross connects may only be used to connect the User's non-contiguous cabinets. The charge will no longer be waived once a User is removed from the waitlist.
 - If a waitlist is created, a User seeking a new cage will be placed on the waitlist based on the date a signed order for the cage is received.
 - A User that turns down a cage because it is not the correct size will remain on the waitlist. A User that requests to be removed or that turns down a cage that is the size that it requested will be removed from the waitlist.
 - A User that is removed from the waitlist but subsequently requests a cage will be added back to the bottom of the waitlist, provided that, if the User was removed from the waitlist because it turned down a cage that is the size that it requested, it will not receive a second waiver of the charge.

4. When a User purchases a service that includes access to the LCN or IP network, it receives the ability to access the trading and execution systems of the NYSE, NYSE American, NYSE Arca, NYSE Chicago, and NYSE National (together, the Exchange Systems) as well as of Global OTC (the Global OTC System), subject, in each case, to authorization by the NYSE, NYSE American, NYSE Arca, NYSE Chicago, NYSE National, or Global OTC, as applicable. Such access includes access to the customer gateways that provide for order entry, order receipt (i.e. confirmation that an order has been received), receipt of drop copies and trade reporting (i.e. whether a trade is executed or cancelled), as well as for sending information to shared data services for clearing and settlement. A User can change the access it receives at any time, subject to authorization by NYSE, NYSE American, NYSE Arca, NYSE Chicago, NYSE National or Global OTC. NYSE, NYSE American, NYSE Arca, NYSE Chicago and NYSE National also offer access to Exchange Systems to their members, such that a User does not have to purchase access to the LCN or IP network to obtain access to Exchange Systems. Global OTC offers access to the Global OTC System to its subscribers, such that a User does not have to purchase access to the LCN or IP network to obtain access to the Global OTC System.

5. When a User purchases a service that includes access to the LCN or IP network it receives connectivity to any of the Included Data Products that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the Included Data Products are charged by the provider of the data feed. A User can change the Included Data Products to which it receives connectivity at any time, subject to authorization from the provider of the data feed. The Exchange is not the exclusive method to connect to the Included Data Products.

The Included Data Products are as follows:

NMS feeds CTA CQ OPRA
NYSE: NYSE Alerts NYSE BBO NYSE Integrated Feed NYSE OpenBook NYSE Order Imbalances NYSE Trades

NYSE American: NYSE American Alerts NYSE American BBO NYSE American Integrated Feed NYSE American OpenBook NYSE American Order Imbalances NYSE American Trades
NYSE American Options
NYSE Arca: NYSE ArcaBook NYSE Arca BBO NYSE Arca Integrated Feed NYSE Arca Order Imbalances NYSE Arca Trades
NYSE Arca Options
NYSE Best Quote and Trades (BQT)
NYSE Bonds
NYSE Chicago
NYSE National

6. When a User purchases a service that includes access to the NMS network, upon its request it will receive connectivity to the NMS network and any of the NMS feeds that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the NMS feeds are charged by the provided of the NMS feed. The NMS network provides connectivity to the NMS feeds only.

NMS feeds CTA CQ OPRA

Initial Fee per Cabinet	
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Dedicated Cabinet	\$5,000
8-Rack Unit of a Partial Cabinet	\$2,500
Monthly Fee per Cabinet	
Dedicated Cabinet	
Number of kW	Per kW Fee Monthly
4 - 8	\$1,200
9 - 20	\$1,050
21 – 40	\$950
41 +	\$900
8-Rack Unit of a Partial Cabinet	
Number of kW	Total Fee Monthly
1	\$1,500
2	\$2,700
Cabinet Upgrade Fee	

Dedicated Cabinet	\$9,200 (\$4,600 for a User that submitted a written order for a Cabinet Upgrade by January 31, 2014, provided that the Cabinet Upgrade became fully operational by March 31, 2014)
PNU Cabinet	monthly charge of \$360 per kW allocated to PNU Cabinet
Cage Fees	
2 – 14 Cabinets	\$5,000 initial charge plus \$2,700 monthly charge
15 – 28 Cabinets	\$10,000 initial charge plus \$4,100 monthly charge
29+ Cabinets	\$15,000 initial charge plus \$5,500 monthly charge

Type of Service	Description	Amount of Charge
LCN Access	1 Gb Circuit	\$6,000 per connection initial charge plus \$5,000 monthly per connection
LCN and NMS Network Access	10 Gb LX LCN Circuit and 10 Gb NMS Network Circuit	<p>\$15,000 initial charge per connection to both the LCN and NMS Network plus \$22,000 monthly charge per connection to both the LCN and NMS Network.</p> <p>For purposes of these charges, the LCN Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</p>
LCN and NMS Network Access	40 Gb LCN Circuit and 40 Gb NMS Network Circuit	<p>\$15,000 initial charge per connection to both the LCN and NMS Network plus \$22,000 monthly charge per connection to both the LCN and NMS Network.</p> <p>For purposes of these charges, the LCN Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</p>

Type of Service	Description	Amount of Charge
<p>Partial Cabinet Solution bundles</p> <p>Note: A User and its Affiliates are limited to one Partial Cabinet Solution bundle at a time. A User and its Affiliates must have an Aggregate Cabinet Footprint of 2 kW or less to qualify for a Partial Cabinet Solution bundle. See Note 2 under “General Notes.”</p>	<p>Option A:</p> <p>1 kW partial cabinet, 1 LCN connection (1 Gb), 1 IP network connection (1 Gb), 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>\$7,500 initial charge per bundle plus monthly charge per bundle as follows:</p> <ul style="list-style-type: none"> For Users that order on or before December 31, 2020: \$3,000 monthly for first 24 months of service, and \$6,000 monthly thereafter For Users that order after December 31, 2020: \$6,000 monthly
	<p>Option B:</p> <p>2 kW partial cabinet, 1 LCN connection (1 Gb), 1 IP network connection (1 Gb), 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>\$7,500 initial charge per bundle plus monthly charge per bundle as follows:</p> <ul style="list-style-type: none"> For Users that order on or before December 31, 2020: \$3,500 monthly for first 24 months of service, and \$7,000 monthly thereafter For Users that order after December 31, 2020: \$7,000 monthly
	<p>Option C:</p> <p>1 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), 2 NMS Network connections (10 Gb</p>	<p>\$10,000 initial charge per bundle plus monthly charge per bundle as follows:</p> <ul style="list-style-type: none"> For Users that order on or before December 31, 2020: \$7,000 monthly

Type of Service	Description	Amount of Charge
	each), 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol	<p>for first 24 months of service, and \$14,000 monthly thereafter</p> <ul style="list-style-type: none"> For Users that order after December 31, 2020: \$14,000 monthly
	<p>Option D:</p> <p>2 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), 2 NMS Network connections (10 Gb each), 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>\$10,000 initial charge per bundle plus monthly charge per bundle as follows:</p> <ul style="list-style-type: none"> For Users that order on or before December 31, 2020: \$7,500 monthly for first 24 months of service, and \$15,000 monthly thereafter For Users that order after December 31, 2020: \$15,000 monthly
IP Network Access	1 Gb Circuit	\$2,500 per connection initial charge plus \$2,500 monthly per connection
IP Network and NMS Network Access	10 Gb IP Network Circuit and 10 Gb NMS Network Circuit	<p>\$10,000 initial charge per connection to both the IP Network and NMS Network plus \$11,000 monthly charge per connection to both the IP Network and NMS Network.</p> <p>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are</p>

Type of Service	Description	Amount of Charge
		together considered to be one connection, and so Users are not subject to two initial or two monthly charges.
IP Network and NMS Network Access	40 Gb IP Network Circuit and 40 Gb NMS Network Circuit	<p>\$10,000 initial charge per connection to both the IP Network and NMS Network plus \$18,000 monthly charge per connection to both the IP Network and NMS Network.</p> <p>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</p>
Testing and certification IP Network Access	IP network circuit for testing and certification. Circuit can only be used for testing and certification and testing and certification period is limited to three months.	No charge.
Wireless Connection for Third Party Data	Wireless connection of Cboe Pitch BZX Gig shaped data and Cboe Pitch BYX Gig shaped data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$6,000</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection</p>

Type of Service	Description	Amount of Charge
		is waived.
Wireless Connection for Third Party Data	Wireless connection of Cboe EDGX Gig shaped data and Cboe EDGA Gig shaped data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$6,000</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.</p>
Wireless Connection for Third Party Data	Wireless connection of NASDAQ Totalview-ITCH data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$8,500</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.</p>
Wireless Connection for Third Party Data	Wireless connection of NASDAQ BX Totalview-ITCH data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$6,000</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection</p>

Type of Service	Description	Amount of Charge
		is waived.
Wireless Connection for Third Party Data	Wireless connection of NASDAQ Totalview Ultra (FPGA)	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$11,000</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.</p>
Wireless Connection for Third Party Data	Wireless connection of NASDAQ Totalview-ITCH and BX Totalview-ITCH data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$12,000</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.</p>
Wireless Connection for Third Party Data	Wireless connection of NASDAQ Totalview Ultra (FPGA) and BX Totalview-ITCH data	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$14,500</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection</p>

Type of Service	Description	Amount of Charge
		is waived.
Wireless Connection for Third Party Data	Wireless connection of Toronto Stock Exchange (TSX)	<p>\$5,000 per connection initial charge plus monthly charge per connection of \$8,500</p> <p>Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.</p>
Wireless Connection for Third Party Data	Port for wireless connection	\$3,000 monthly charge per port, excluding first port
Virtual Control Circuit between two Users	1Mb	\$200 monthly charge
	3Mb	\$400 monthly charge
	5Mb	\$500 monthly charge
	10Mb	\$800 monthly charge
	25Mb	\$1,200 monthly charge
	50Mb	\$1,800 monthly charge

Type of Service	Description	Amount of Charge
	100Mb	\$2,500 monthly charge
Hosting Fee		\$1,000 monthly charge per cabinet per Hosted Customer for each cabinet in which such Hosted Customer is hosted
Data Center Fiber Cross Connect	Furnish and install 1 cross connect	\$500 initial charge plus \$600 monthly charge
	Furnish and install bundle of 6 cross connects	\$500 initial charge plus \$1,800 monthly charge
	Furnish and install bundle of 12 cross connects	\$500 initial charge plus \$3,000 monthly charge
	Furnish and install bundle of 18 cross connects	\$500 initial charge plus \$3,840 monthly charge
	Furnish and install bundle of 24 cross connects	\$500 initial charge plus \$4,680 monthly charge See General Note 3.
Connection to Time Protocol Feed	Network Time Protocol Feed (Note: LCN only)	300 initial charge plus \$100 monthly charge

Type of Service	Description	Amount of Charge
	Precision Time Protocol	\$1,000 initial charge plus \$250 monthly charge
	GPS Time Source (Note: dedicated cabinets only)	\$3,000 initial charge plus \$400 monthly charge
Expedite Fee	Expedited installation/completion of a User's co-location service	\$4,000 per request
Change Fee ¹	Change to a co-location service that has already been installed/completed for a User	\$950 per request
Initial Install Services ¹ (Required per cabinet)	Dedicated Cabinet: Includes initial racking of equipment in cabinet and provision of cables (4 hrs).	\$800 per dedicated cabinet
	Partial Cabinet: Includes initial racking of equipment in cabinet and provision of cables (2 hrs).	\$400 per eight-rack unit in a partial cabinet
Hot Hands Service ^{1†}	Allows Users to use on-site data center personnel to maintain User equipment, support network troubleshooting, rack and stack, power recycling, and install and document cable.	\$100 per half hour
Shipping and Receiving ¹	Receipt of one shipment of goods at data center from User/supplier. Includes coordination of shipping and receiving.	\$100 per shipment

Type of Service	Description	Amount of Charge
Badge Request ¹	Request for provision of a permanent data center site access badge for a User representative.	\$50 per badge
External Cabinet Cable Tray ¹	Engineer, furnish and install Rittal 5"H x 12"W cable tray on cabinet.	\$400 per tray
Custom External Cabinet Cable Tray ¹	Engineer, furnish and install 4" H x 24" W custom basket cable tray above client's cabinet rows.	\$100 per linear foot
Visitor Security Escort ¹	All User representatives are required to be accompanied by a visitor security escort during visits to the data center, unless visiting the User's cage. Requirement includes User representatives who have a permanent data center site access badge.	\$75 per visit

¹ These fees are waived for the move of a User's equipment within the Data Center when incurred in connection with such a move required by the Exchange ("Migration Move"). A User selected by the Exchange for a Migration Move will receive written notice (the "Notice"). The Notice will identify the 90-day period during which a User must move its equipment, which period would commence at least 60 days from the date of the Notice. Monthly recurring fees for the User's existing space based on the rate of the monthly recurring fees that the User was paying as of the date of the Notice are also waived for the month during which a User's Migration Move takes place, so the User would not incur these fees for the period of overlapping use of equipment and services in the old and new locations. In addition, the monthly recurring charges are waived for the month following the completion of a User's Migration Move, based on the rate of the monthly recurring fees that the User was paying as of the date of the Notice. No User will be required to move more than once within any 12-month period.

† Fees for Hot Hands Services will be waived beginning on March 16, 2020 through the reopening of the Mahwah, New Jersey data center. The date of the reopening will be announced through a customer notice.

Co-Location: Connectivity to Third Party Systems, Data Feeds, Testing and Certification Feeds, and DTCC

Connectivity to Third Party Systems

Pricing for access to the execution systems of third party markets and other service providers (Third Party Systems) is for connectivity only. Connectivity to Third Party Systems is subject to any technical provisioning requirements and authorization from the provider of the data feed. Connectivity to Third Party Systems is over the IP network. Any applicable fees are charged independently by the relevant third party content service provider. The Exchange is not the exclusive method to connect to Third Party Systems.

Bandwidth of connection to Third Party System	Monthly recurring fee per connection to Third Party System
1Mb	\$200
3Mb	\$400
5Mb	\$500
10Mb	\$800
25Mb	\$1,200
50Mb	\$1,800
100Mb	\$2,500

200 Mb	\$3,000
1 Gb	\$3,500

Third Party Systems
Americas Trading Group (ATG)
BM&F Bovespa
Boston Options Exchange (BOX)
Canadian Securities Exchange (CSE)
Cboe BYX Exchange, Cboe BZX Exchange, Cboe EDGA Exchange, and Cboe EDGX Exchange
Cboe Exchange (Cboe) and Cboe C2 Exchange (C2)
Chicago Mercantile Exchange (CME Group)
Credit Suisse
Euronext Optiq Cash and Derivatives Unicast (EUA)
Euronext Optiq Cash and Derivatives Unicast (Production)
Investors Exchange (IEX)
ITG TriAct Matchnow
Miami International Securities Exchange
MIAX PEARL
Nasdaq

NASDAQ Canada (CXC, CXD, CX2)
NASDAQ ISE
Neo Aequitas
NYFIX Marketplace
Omega
OneChicago
OTC Markets Group
OneChicago
TMX Group

Connectivity to Third Party Data Feeds

Pricing for data feeds from third party markets and other content service providers (Third Party Data Feeds) is for connectivity only. Connectivity to Third Party Data Feeds is subject to any technical provisioning requirements and authorization from the provider of the data feed. Connectivity to Third Party Data Fees is over the IP network, with the exception that Users can connect to Global OTC and ICE Data Global Index* over the IP network or LCN. Market data fees are charged independently by the relevant third party market or content service provider. The Exchange is not the exclusive method to connect to Third Party Data Feeds.

Third Party Data Feed providers may charge redistribution fees. When the Exchange receives a redistribution fee, it passes through the charge to the User, without change to the fee. The fee is labeled as a pass-through of a redistribution fee on the User’s invoice. The Exchange does not charge third party markets or content providers for connectivity to their own feeds.

Third Party Data Feed	Monthly Recurring Connectivity Fee per Third Party Data Feed
BM&F Bovespa	\$3,000

Boston Options Exchange (BOX)	\$1,000
Canadian Securities Exchange (CSE)	\$1,000
Cboe BZX Exchange (CboeBZX) and Cboe BYX Exchange (CboeBYX)	\$2,000
Cboe EDGX Exchange (CboeEDGX) and Cboe EDGA Exchange (CboeEDGA)	\$2,000
Cboe Exchange (Cboe) and Cboe C2 Exchange (C2)	\$2,000
CME Group	\$3,000
Euronext Optiq Compressed Cash	\$900
Euronext Optiq Compressed Derivatives	\$600
Euronext Optiq Shaped Cash	\$1,200
Euronext Optiq Shaped Derivatives	\$900
Financial Industry Regulatory Authority (FINRA)	\$500
Global OTC	\$100
ICE Data Global Index*	\$100
ICE Data Services Consolidated Feed \leq 100 Mb	\$200
ICE Data Services Consolidated Feed $>$ 100 Mb to \leq 1 Gb	\$500
ICE Data Services Consolidated Feed $>$ 1 Gb	\$1,000
ICE Data Services Consolidated Feed Shared Farm \leq 100Mb	\$200
ICE Data Services Consolidated Feed Shared Farm $>$ 100 Mb to \leq 1 Gb	\$500
ICE Data Services Consolidated Feed Shared Farm $>$ 1 Gb	\$1,000
ICE Data Services PRD	\$200
ICE Data Services PRD CEP	\$400
Intercontinental Exchange (ICE)	\$1,500
Investors Exchange (IEX)	\$1,000
ITG TriAct Matchnow	\$1,000
Miami International Securities Exchange/MIAX PEARL	\$2,000
Montréal Exchange (MX)	\$1,000
MSCI 5 Mb	\$500
MSCI 25 Mb	\$1,200

NASDAQ Stock Market	\$2,000
NASDAQ OMX Global Index Data Service	\$100
NASDAQ OMDF	\$100
NASDAQ UQDF & UTDF	\$500
NASDAQ Canada (CXC, CXD, CX2)	\$1,500
NASDAQ ISE	\$1,000
Neo Aequitas	\$1,200
Omega	\$1,000
OneChicago	\$1,000
OTC Markets Group	\$1,000
SR Labs – SuperFeed <500 Mb	\$250
SR Labs – SuperFeed >500 Mb to <1.25 Gb	\$800
SR Labs – SuperFeed >1.25 Gb	\$1,000
TMX Group	\$2,500

* ICE will cease to offer the GIF as a stand-alone product, which the Exchange has been informed by ICE is currently expected to occur before the end of 2020. The Exchange will announce the operative date through a customer notice. Any change fees that a User would otherwise incur as a result of the proposed change will be waived.

Connectivity to Third Party Testing and Certification Feeds

The Exchange provides connectivity to third party testing and certification feeds provided by third party markets and other content service providers. Pricing for third party testing and certification feeds is for connectivity only. Connectivity to third party testing and certification feeds is subject to any technical provisioning requirements and authorization from the provider of the data feed. Connectivity to third party testing and certification feeds is over the IP network. Any applicable fees are charged independently by the relevant third party market or content service provider. The Exchange is not the exclusive method to connect to third party testing and certification feeds.

Connectivity to third party certification and testing feeds	\$100 monthly recurring fee per feed
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Connectivity to DTCC

Pricing for connectivity to DTCC feeds is for connectivity only. Connectivity to DTCC feeds is subject to any technical provisioning requirements and authorization from DTCC. Connectivity to DTCC feeds is over the IP network. Any applicable fees are charged independently by DTCC. The Exchange is not the exclusive method to connect to DTCC feeds.

5 Mb connection to DTCC	\$500 monthly recurring fee
50 Mb connection to DTCC	\$2,500 monthly recurring fee

Section VI. Report Fees

A.Option Reports. The following reports are available to participants.

Report Type	Fee
User Activity Extract or Batch Extract	\$0.002 per trade plus setup and development costs
Online Data Extract	\$500 per month
Specialized Report, Processing and/or Printing	Development and production costs

Section VII. Regulatory Fees

A.Options Regulatory Fee (“ORF”). The ORF will be assessed to each ATP Holder for all options transactions that are cleared by the ATP Holder through the OCC in the customer range regardless of the exchange on which the transaction occurs. The Exchange uses reports from OCC when assessing and collecting the ORF. The ORF is not assessed on outbound linkage trades. The fee is collected from ATP Holder clearing firms by the OCC on behalf of

NYSE American. An ATP Holder shall not be assessed the fee until it has satisfied applicable technological requirements necessary to commence operations on NYSE American. The Exchange may only increase or decrease the ORF semi-annually, and any such fee change will be effective on the first business day of February or August. The Exchange will notify participants via a Trader Update of any change in the amount of the fee at least 30 calendar days prior to the effective date of the change; except in the case of the August 30th ORF rate change.

Rate Per Contract
\$0.0055
\$0.0054 per contract, effective solely for the August 30, 2019 trading day (the “August 30 th ORF rate”)

B. Other Regulatory Fees. Other Regulatory Fees are described in the table below.

Description	Fee
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
Annual Regulatory Training Program for Floor Personnel	\$60 per person
CRD Fees	
All Regulatory Element Programs	\$100

Regulatory Element Program if Web-based	\$55
Series 57 Examination	\$120

CRD Fees For ATP Holders Who Are Not FINRA Members	
Each initial Form U4 filed for the registration of a representative or principal	\$100
Additional processing of each initial or amended Form U4, Form U5 or Form BD that includes the initial reporting, amendment, or certification of one or more disclosure events or proceedings	\$110
Processing and posting to the CRD system each set of fingerprints submitted electronically to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints	\$15
Processing and posting to the CRD system each set of fingerprint cards submitted in non-electronic format to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints	\$30
Processing and posting to the CRD system each set of fingerprint results and identifying information that have been processed through another self-regulatory organization and submitted to FINRA	\$30

System processing for each registered representative and principal	\$45 annually
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Section VIII. Service Fees

A. Post-Trade Adjustments. For Post-Trade Adjustments that do not affect the contractual terms of a trade, the Service Fee would only apply when the Exchange performs Post-Trade Adjustments on behalf of ATP Holders when such Post-Trade Adjustments could otherwise have been self-executed. ATP Holders may continue to make these Post-Trade Adjustments on their own without incurring the Service Fee.

Description	Fee or Charge
Post-Trade Adjustments December 1, 2014 to February 28, 2015	\$1.00 per trade adjusted
Post-Trade Adjustments after February 28, 2015	\$5.00 per trade adjusted ¹

¹ Only one \$5.00 fee will apply to each trade, even if multiple Post-Trade Adjustments are made in connection with a trade.