

# NYSE American Equities Price List



2018

**Last Updated: December 12, 2018**

## NYSE American Trading Fees and Credits

- Rebates indicated by parentheses ( ).
- For purposes of determining transaction fees and credits based on quoting levels, average daily volume (“ADV”), and consolidated ADV (“CADV”), the Exchange may exclude shares traded 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.
- Electronic Designated Market Maker (“eDMM”) liquidity credits based on quoting in Exchange-listed securities in the current month will include scheduled early closing days but will not include days involving one or both of the events described in bullet two above.

### **I. Transaction Fees (other than for Transactions by an eDMM in Securities Assigned to an eDMM)**

<b>Category</b>	<b>Adding Liquidity</b>	<b>Removing Liquidity</b>	<b>Executions at Open and Close</b>
Securities at or above \$1.00	\$0.0002 per share (non-displayed) No charge (displayed)	\$0.0002 per share	\$0.0005 per share
Securities below \$1.00	0.25% of total dollar value of the transaction (non-displayed) No charge (displayed)	0.25% of total dollar value of the transaction	\$0.0005 per share

## II. Fees and Credits Applicable to eDMMs on Transactions in Securities Assigned to an eDMM

- Unless an eDMM qualifies for a higher rebate, eDMMs will receive the following rebates for trading in their assigned NYSE American-listed securities based on the specified quoting requirement for securities at or above \$1.00.
- “Core Trading Hours” means the hours of 9:30 a.m. Eastern Time through 4:00 p.m. Eastern Time or such other hours as may be determined by the Exchange from time to time.
- For each eDMM to qualify for the following adding liquidity and monthly credits, each eDMM must meet the heightened quoting obligations set forth in Rule 7.24E(c).

### A. Transaction Fees and Credits

Category	Adding Liquidity	Removing Liquidity	Executions at Open and Close
Securities at or above \$1.00	(\$0.0045) per share (displayed),  No Charge (non-displayed)	\$0.0002 per share	No Charge
Securities below \$1.00	(.25% of total dollar value of the transaction) (displayed)  No Charge (non-displayed)	0.25% of total dollar value of the transaction	No Charge

## ***B. Monthly Credits***

<b>Requirement</b>	<b>Monthly Credit</b>
In addition to current rate on transactions, and prorated to the number of trading days in a month that a security is assigned to an eDMM, for each of that eDMM's securities whose CADV during the previous month is less than 50,000 shares per day and for which the eDMM quotes at the NBBO at least 25% of the time for that symbol during Core Trading Hours in that month.	\$100 per security
In addition to current rate on transactions and the above monthly credit, in a month that a security is assigned to an eDMM, for each of that eDMM's securities for which the eDMM quotes at the NBBO at least 25% of the time for that symbol during Core Trading Hours in that month up to a maximum of 20 symbols per month per eDMM.	\$500 per security

## ***C. Market Data Revenue***

Each eDMM will receive all of the market data quote revenue (the "Quoting Share") in their assigned securities 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 eDMM quotes at the NBBO at least 25% of time during Core Trading Hours.

### III. Fees for Routing for all ETP Holders

Category	Execution in an Away Market Auction	All other executions
Securities at or above \$1.00	\$0.0016 per share	\$0.0030
Securities below \$1.00	0.30% of total dollar value of the transaction	0.30% of total dollar value of the transaction

### IV. Fees for Off-Hours Trading Facility

Equity per Share Charge – per transaction (charged to both sides) – subject to a \$100,000 cap per month.....\$0.0004

### V. Port Fees<sup>1</sup>

Ports for order/quote entry..... No charge until October 1, 2017; thereafter, \$250 per port per month.

Ports for drop copies..... No charge until October 1, 2017; thereafter, \$250 per port per month (only one fee per drop copy port shall apply, even if receiving drop copies from multiple order/quote entry ports).

### VI. ETP Fee

No Charge.

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<sup>1</sup> The following port fees for order/quote entry and drop copies will be prorated to the number of trading days in a billing month that a port is utilized, including any early closing days.

## **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

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).

### ***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

## **Regulatory Fees**

### Registration Fees

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

**CRD Fees for Member Organizations that 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

## 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 Rate Per 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 American 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

### 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 the NYSE American Equities Price List shall not be subject to co-location fees for the same co-location service charged pursuant to the NYSE American Options Fee Schedule or by the Exchange’s affiliates New York Stock Exchange LLC (NYSE), NYSE Arca, Inc. (NYSE Arca) 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 certificating 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 certificating 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 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 National, and Chicago Stock Exchange, Inc. (CHX and, together, the Exchange Systems), subject, in each case, to authorization by the NYSE, NYSE American, NYSE Arca, NYSE National or CHX, 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 National, or CHX. NYSE, NYSE American, NYSE Arca, NYSE National and CHX 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.

When a User purchases 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:

Chicago Stock Exchange (CHX)
NMS feeds
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 National

<b>Initial Fee per Cabinet</b>	
Dedicated Cabinet	\$5,000
8-Rack Unit of a Partial Cabinet	\$2,500

<b>Monthly Fee per Cabinet</b>	
<b>Dedicated Cabinet</b>	
<b>Number of kW</b>	<b>Per kW Fee Monthly</b>
4 - 8	\$1,200
9 - 20	\$1,050
21 - 40	\$950
41 +	\$900
<b>8-Rack Unit of a Partial Cabinet</b>	
<b>Number of kW</b>	<b>Total Fee Monthly</b>
1	\$1,500
2	\$2,700
<b>Cabinet Upgrade Fee</b>	
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)
<b>PNU Cabinet</b>	monthly charge of \$360 per kW allocated to PNU Cabinet
<b>Cage Fees</b>	
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 Access	10 Gb Circuit	\$10,000 per connection initial charge plus \$14,000 monthly per connection. A User that purchases 5 10 GB LCN Circuits will receive the 6th 10 GB LCN Circuit without an additional monthly charge
LCN Access	10 Gb LX Circuit	\$15,000 per connection initial charge plus \$22,000 monthly per connection.
LCN Access	40 Gb Circuit	\$15,000 per connection initial charge plus \$22,000 monthly per connection.
Bundled Network Access (2 LCN connections, 2 IP network connections, and 2 optic connections to outside access center)	1 Gb Bundle	\$25,000 initial charge plus \$13,000 monthly charge
	10 Gb Bundle	\$50,000 initial charge plus \$53,000 monthly 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</p>	<p>Option A:  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"> <li>• For Users that order on or before December 31, 2019: \$3,000 monthly for first 24 months of service, and \$6,000 monthly thereafter</li> <li>• For Users that order after December 31, 2019: \$6,000 monthly</li> </ul>

Type of Service	Description	Amount of Charge
under “General Notes.”	<p>Option B:  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"> <li>• For Users that order on or before December 31, 2019: \$3,500 monthly for first 24 months of service, and \$7,000 monthly thereafter</li> <li>• For Users that order after December 31, 2019: \$7,000 monthly</li> </ul>
	<p>Option C:  1 kW partial cabinet, 1 LCN connection (10 Gb), 1 IP network connection (10 Gb), 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"> <li>• For Users that order on or before December 31, 2019: \$7,000 monthly for first 24 months of service, and \$14,000 monthly thereafter</li> <li>• For Users that order after December 31, 2019: \$14,000 monthly</li> </ul>
	<p>Option D:  2 kW partial cabinet, 1 LCN connection (10 Gb), 1 IP network connection (10 Gb), 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"> <li>• For Users that order on or before December 31, 2019: \$7,500 monthly for first 24 months of service, and \$15,000 monthly thereafter</li> <li>• For Users that order after December 31, 2019: \$15,000 monthly</li> </ul>
IP Network Access	1 Gb Circuit	\$2,500 per connection initial charge plus \$2,500 monthly per connection

Type of Service	Description	Amount of Charge
IP Network Access	10 Gb Circuit	\$10,000 per connection initial charge plus \$11,000 monthly per connection
IP Network Access	40 Gb Circuit	\$10,000 per connection initial charge plus \$18,000 monthly per connection
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	\$5,000 per connection initial charge plus monthly charge per connection of \$6,000  Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.
Wireless Connection for Third Party Data	Wireless connection of Cboe EDGX Gig shaped data and Cboe EDGA Gig shaped data	\$5,000 per connection initial charge plus monthly charge per connection of \$6,000  Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.
Wireless Connection for Third Party Data	Wireless connection of NASDAQ Totalview-ITCH data	\$5,000 per connection initial charge plus monthly charge per connection of \$8,500  Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.



Type of Service	Description	Amount of Charge
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 is waived.</p>
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 is waived.</p>

Type of Service	Description	Amount of Charge
Wireless Connection for Third Party Data	Wireless connection of Toronto Stock Exchange (TSX)	\$5,000 per connection initial charge plus monthly charge per connection of \$8,500  Fees are subject to a 30-day testing period, during which the monthly charge per connection is waived.
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
	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

Type of Service	Description	Amount of 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
	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***	Change to a co-location service that has already been installed/completed for a User	\$950 per request
Initial Install Services*** (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***	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

Type of Service	Description	Amount of Charge
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
Visitor Security Escort***	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

\*\*\* 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.

**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.

<b>Bandwidth of connection to Third Party System</b>	<b>Monthly recurring fee per connection to Third Party System</b>
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

<b>Third Party Systems</b>
Americas Trading Group (ATG)
BM&F Bovespa
Boston Options Exchange (BOX)

Canadian Securities Exchange (CSE)
Cboe BYX Exchange (CboeBYX), Cboe BZX Exchange (CboeBZX), Cboe EDGA Exchange (CboeEDGA), and Cboe EDGX Exchange (CboeEDGX)
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
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.

<b>Third Party Data Feed</b>	<b>Monthly Recurring Connectivity Fee per Third Party Data Feed</b>
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 ≤ 100 Mb	\$200
ICE Data Services Consolidated Feed > 100 Mb to ≤1 Gb	\$500
ICE Data Services Consolidated Feed > 1 Gb	\$1,000
ICE Data Services Consolidated Feed Shared Farm ≤ 100Mb	\$200
ICE Data Services Consolidated Feed Shared Farm > 100 Mb to ≤ 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

*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



## **Listing Fees**

### **I. Original Listing Fees**

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

### **II. Annual Listing Fees**

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

### **III. Additional Listing Fees**

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

## Publications

<b>Type</b>	<b>One Time Charge</b>
NYSE American Rules .....	\$18.00
NYSE American Directory .....	\$6.00
NYSE American Guide & Binder .....	\$56.82
NYSE American Guide Binder.....	\$12.75
NYSE American Guide Compilations/Inserts .....	\$16.00

## **General**

### **I. 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.

### **II. Aggregate Billing of Affiliated Member Organizations**

(a) For purposes of applying any provision of the Price List where the charge assessed, or credit provided, by the Exchange depends upon the volume of a member organization's activity, a member organization may request that the Exchange aggregate its eligible activity with the eligible activity of its affiliate(s).

- (1) A member organization requesting aggregation of eligible affiliate activity shall be required to certify to the Exchange the affiliate status of member organizations whose activity it seeks to aggregate prior to receiving approval for aggregation, and shall be required to inform the Exchange immediately of any event that

causes an entity to cease to be an affiliate. The Exchange shall review available information regarding the entities and reserves the right to request additional information to verify the affiliate status of an entity. The Exchange shall approve a request, unless it determines that the certificate is not accurate.

- (2) If two or more member organizations become affiliated on or prior to the sixteenth day of a month, and submit the required request for aggregation on or prior to the twenty-second day of the month, an approval of the request by the Exchange shall be deemed to be effective as of the first day of that month. If two or more members become affiliated after the sixteenth day of a month, or submit a request for aggregation after the twenty-second day of the month, an approval of the request by the Exchange shall be deemed to be effective as of the first day of the next calendar month.

**(b)** For purposes of applying any provision of the Price List where the charge assessed, or credit provided, by the Exchange depends upon the volume of a member organization's activity, references to an entity (excluding references to DMMs and where otherwise not permitted on the Price List) shall be deemed to include the entity and its affiliate(s) that have been approved for aggregation.

**(c)** For purposes of this Fee Schedule, the term “affiliate” shall mean any member organization under 75% common ownership or control of that member organization.