

Additions underscored
Deletions [bracketed]

NYSE Arca Options Fees and Charges

Effective Date: March [20] 24, 2023

QUALIFIED CONTINGENT CROSS (“QCC”) TRANSACTION FEES AND CREDITS	
Participant	Per Contract Fee or Credit
All Non-Customers in All Issues	\$0.20
All Customers in All Issues	\$0.00
Submitting Broker credit for Non-Customer vs. Non-Customer QCC Transaction ^{13,17}	(\$0.22)
Submitting Broker credit for Customer vs. Non-Customer QCC Transaction ^{13,17}	(\$0.16)

<u>Additional Submitting Broker QCC Credits per contract</u>	<u>Customer vs. Non-Customer QCC Transaction</u>	<u>Non-Customer vs. Non-Customer QCC Transaction</u>
<u>Achieve 1.5 million QCC contracts per month</u>	(\$0.01)	(\$0.03)
<u>Achieve 3 million QCC contracts per month</u>	(\$0.02)	(\$0.06)

The Additional Submitting Broker QCC Credits are payable back to the first contract but are not cumulative across tiers.

<u>[Market Maker Incentive For Penny Issues^{8,15}</u>	
At least 0.75% of TCADV from Customer posted interest in all issues <i>and</i> an ADV from Market Maker posted interest in all issues other than SPY equal to 0.40% of TCADV	\$0.41 Credit Applied to electronic executions of Market Maker posted interest in Penny Issues

Market Maker Incentive For Non-Penny Issues^{8,15}		
At least 0.55% of TCADV from Market Maker posted interest in all issues, or	At least 1.60% of TCADV from all interest in all issues, all account types, with at least 0.15% of TCADV from Market Maker posted interest in all issues	\$0.55 Credit Applied to electronic executions of Market Maker posted interest in non-Penny Issues]

ROUTING FEES

[\$0.11 per contract on] The Routing Fee applies to orders routed and executed on another exchange, [, plus (i) any transaction fees assessed by the away exchange (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).]

<u>Penny Issues</u>	<u>Non-Penny Issues</u>
<u>\$0.61</u>	<u>\$1.21</u>

The Routing Fee is in addition to NYSE Arca’s customary execution fees applicable to the order.

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
OTP TRADING PARTICIPANT RIGHTS - Floor Broker
FLOOR BROKER ORDER CAPTURE DEVICE - MARKET DATA FEES

FLOOR BOOTHS
OPTIONS FLOOR ACCESS FEE
WIRE SERVICES

Participants in the FB Prepay Program qualify for rebates through the Manual Billable Rebate Program, payable on a monthly basis.¹⁷ The Manual Billable Rebate Program provides all Floor Brokers that participate in the FB Prepay Program a rebate on manual billable volume of (\$0.08) per billable side, and participating Floor Brokers that achieve more than 500,000 manual billable sides in a month are eligible for an additional rebate of (\$0.02) per billable side, payable back to the first billable side. The calculation of volume on which rebates earned through the Manual Billable Rebate Program would be paid is based on transactions including at least one side for which manual transaction fees are applicable and excludes QCCs. Any volume calculated to achieve the Limit of Fees on Options Strategy Executions (“Strategy Cap”), regardless of whether this cap is achieved, will likewise be excluded from the Manual Billable Rebate Program because fees on such volume are already capped and therefore such volume does not increase billable manual volume. [Submitting Broker QCC credits and Floor Broker rebates earned through the Manual Billable Rebate Program shall not combine to exceed \$2,000,000 per month per firm.]

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 in 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 November 2022. The Exchange will not issue any refunds in the event that a Floor Broker organization’s prepaid Eligible Fixed Costs exceeds actual costs.

NYSE Arca OPTIONS: GENERAL

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.

1.- 12. No Change

13. QCC executions in which a Customer is on both sides of the QCC trade will not be eligible for the Submitting Broker credit.

[The maximum Submitting Broker credit paid shall not exceed \$375,000 per month per Submitting Broker firm.]

14. - 16. No Change

17. Submitting Broker QCC credits and Floor Broker rebates earned through the Manual Billable Rebate Program shall not combine to exceed \$2,000,000 per month per firm.
