

Additions underscored
 Deletions [bracketed]

New York Stock Exchange
 Price List 2012

Last Updated: [January 1] January 2, 201[2]3

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Registration & Regulatory Fees

Registration Fees

Designated Market Makers (annual and new)

Regular Designated Market Makers	1,000.00
Associate and relief Designated Market Makers	50.00

Regulatory Fee

Amount per \$1,000 Gross FOCUS Revenue	\$0.105
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Minimums

Member organizations who do not conduct a public business	\$45.00
Introducing firms	250.00
Carrying firms and Designated Market Makers	500.00

Other

New Firm Fee – per application

Carrying Firms	\$20,000.00
Introducing Firms.....	7,500.00
Non-Public Organizations.....	2,500.00

Continuing Education Program for Qualified Floor Members

Fee per Bi-Annual Session..... \$150.00

Testing Fees - Please call 212.656.2578 for information.

Arbitration Fees

Please refer to NYSE Rule 629 “Schedule of Fees” for all fees pertaining to arbitration.

Please click on the link below to access the NYSE’s Arbitration Rules:

<http://www.nyse.com/regulation/arbitration/1124913483859.html>

CRD Fees for Member Organizations that are not FINRA Members

<u>Each initial Form U4 filed for the registration of a representative or principal</u>	<u>\$100</u>
<u>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</u>	<u>\$110</u>
<u>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</u>	<u>\$15</u>
<u>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</u>	<u>\$30</u>
<u>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</u>	<u>\$30</u>
<u>System processing for each registered representative and principal</u>	<u>\$45 annually</u>

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