

Additions underscored  
Deletions [bracketed]

## NYSE Listed Company Manual

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### 902.02 General Information on Fees

#### Calculating Annual Fees

Annual Fees are calculated on a per share basis, (with the exception of Investment Company Units, streetTRACKS® Gold Shares, Currency Trust Shares, and Commodity Trust Shares), subject to a minimum fee. The Annual Fee is equal to the greater of the minimum fee and the fee calculated on a per share basis.

#### Business Development Companies

Effective January 1, 2019, for all purposes in this Chapter 9, business development companies listed under Section 102.04B are treated the same as domestic operating companies (including the fees applicable to domestic operating companies set forth in Section 902.03) and are not subject to the fees for closed-end funds set forth in Section 902.04.

#### U.S. Issuers

In order to calculate a U.S. issuer's Annual Fees for each class of security listed, the Exchange will include all issued and outstanding shares of that class as of December 31 of the previous year. The Exchange obtains information on the number of securities issued and outstanding from each issuer's transfer agent.

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### 902.03 Fees for Listed Equity Securities

The fees set out in this section apply to listings of common and preferred equity securities by U.S. issuers and foreign private issuers. However, the fees in this section do not apply to listings of securities issued by closed-end funds (with the exception of business development companies listed under Section 102.04B, with effect from January 1, 2019), or to structured products, short-term securities, Investment Company Units listed under Section 703.16, streetTRACKS® Gold Shares as defined in Rule 1300, Currency Trust Shares as defined in Rule 1300A, Commodity Trust Shares as defined in Rule 1300B, or debt securities. Fees applicable to such securities are described in Sections 902.04, 902.05, 902.06, 902.07, and 902.08, respectively.

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#### **902.04 Fees for Listing Securities of Closed-End Funds**

The Listing Fees and Annual Fees set out in this section apply to equity securities of closed-end funds. With effect from January 1, 2019, closed-end funds listed as business development companies under Section 102.04B are subject to the fees set forth in Sections 902.02 and 902.03 for domestic operating companies and are not subject to the fees set forth in this Section 902.04.

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