

Additions underlined
 Deletions [bracketed]

**New York Stock Exchange
 Price List 2021[0]**

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Last Updated:[December 1, 2020]January 1, 2021

Transaction Fees*

Regular Session Trading¹

Transactions in stocks with a per share stock price of \$1.00 or more

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Equipment Fees¹¹

Schedule of Annual Charges, unless otherwise noted

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¹¹ The Booth Telephone System charges and all Service Charges except for the Internet Equipment Monthly Hosting Fee set forth below are waived at the rate of 50% for the billing month[s] of January 2021[April through December 2020]only for member organizations (1) with at least one trading license, a physical trading Floor presence and Floor broker executions accounting for 40% or more of the member organization's combined adding, taking, and auction volumes during March 1 to March 20, 2020 or, if not a member organization during March 1 to March 20, 2020, based on the member organization's combined adding, taking, and auction volumes during its first month as a member organization on or after May 26, 2020, and (2) that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels or, for member organizations that began Floor operations after March 2020, are unable to operate at more than 50% of their Exchange-approved on-Floor staffing levels, both excluding part-time Floor brokers ("Flex brokers").[Member organizations with a physical trading Floor presence that became member organizations on or after April 1, 2020 would be eligible for a one-time credit for the member organization's Booth Telephone System charges and all Service Charges except the Internet Equipment Monthly Hosting Fee for the months of April through July 2020 if the member organization meets the other requirements for the waiver described above. The Booth Telephone System and Service Charge fees set forth

below will be waived for the billing months of April through December 2020 for member organizations with at least one trading license that are Designated Market Makers with 30 or fewer assigned securities for the billing month of March 2020.]

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Trading Licenses

Bond Trading License	\$1,000.00/ year, waived for 2020
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Annual Fee:	
All member organizations, including Floor brokers with 10 or more trading licenses (excluding Regulated Only Members)	\$50,000 for the first trading license held by a member organization unless a below rate is deemed applicable ¹⁵
Member organizations with 3-9 trading licenses	\$35,000 for the first trading license held by a member organization that has Floor broker executions accounting for 40% or more of the member organization's combined adding and taking volumes during the billing month ¹⁵
Member organizations with 1-2 trading licenses	\$25,000 for the first trading license held by a member organization that has Floor broker executions accounting for 40% or more of the member organization's combined adding and taking volumes during the billing month ¹⁵

Regulated Only Members as Defined in Rule 2(b)(ii) Annual Administrative Fee	\$25,000 ¹⁵
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¹⁵ There is no charge for additional licenses held by a member organization. The indicated annual trading license fee will be prorated on a monthly basis for the portion of the calendar year during which the trading license will be outstanding. There is no charge for such trading license that is in place for 10 calendar days or less in a calendar month. A trading license in place for 11 calendar days or more in a calendar month will be charged the applicable license fee for that month. For the above lower rates, the number of licenses will be based on those held by the member organization for 10 or more days in the billing month (including days the Exchange is not open for the entire trading day). The indicated annual trading license fee is waived at the rate of 50% only for the billing month of January 2021 for[April through December 2020 for]member organizations (1) with at least one trading license, a physical trading Floor presence and Floor broker executions accounting for 40% or more of the member organization’s combined adding and taking volumes during March 1 to March 20, 2020 or, if not a member organization during March 1 to March 20, 2020, based on the member organization’s combined adding, taking, and auction volumes during its first month as a member organization on or after May 26, 2020, and (2) that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels or, for member organizations that began Floor operations after March 2020, are unable to operate at more than 50% of their Exchange-approved on-Floor staffing levels, both excluding part-time Floor brokers (“Flex brokers”).[Member organizations with a physical trading Floor presence that became member organizations on or after April 1, 2020 would be eligible for a one-time credit for the member organization’s indicated annual trading license fee for the months of April through July 2020 if the member organization meets the other requirements for the waiver described above. The indicated annual trading license fees will be waived for April through December 2020 for member organizations with at least one trading license that are Designated Market Makers with 30 or fewer assigned securities for the billing month of March 2020.]

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