

Additions underlined  
 Deletions [bracketed]

**New York Stock Exchange  
 Price List 2021**

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**Last Updated: [May 17]June 1, 2021**

**Transaction Fees\***

Regular Session Trading<sup>1</sup>

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

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Executions at the Close Equity Per Share Charge – per transaction (both sides) –

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<p>Tier 2 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders that add liquidity to the NYSE if the Member Organization (i) has Adding ADV that is at least 0.75% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.10% of NYSE CADV or executes an ADV during the billing month of at least one million shares in Retail Price Improvements Orders.</p> <p>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</p>	<p>\$0.0020</p>
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<p><u>Tier 3 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders, that add liquidity if the Member Organization has an Adding ADV, excluding SLP and as a DMM Adding ADV, that is at least 0.35% of NYSE CADV.</u></p> <p><u>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined receive an additional \$0.0001 per share.</u></p>	<p><u>\$0.0019</u></p>
<p>Tier [3]4 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders that add liquidity to the NYSE if the Member Organization either (A)(i) has an Adding ADV that is at least 0.40% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.05% of NYSE CADV, or (B)(i) has an Adding ADV that is at least 0.30% of NYSE CADV, (ii) executes MOC and LOC orders of at least 0.05% of NYSE CADV, and (iii) has an Adding ADV in MPL orders of at least 200,000 shares.</p> <p>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.0001 per share.</p>	<p>\$0.0018</p>

<p><u>Tier 5 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders, that add liquidity if the Member Organization’s Adding ADV, excluding liquidity added as an Supplemental Liquidity Provider and as a DMM, is at least 0.29% of NYSE CADV.</u></p> <p><u>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined receive an additional \$0.0001 per share.</u></p>	<u>\$0.0017</u>
<p><u>Tier 6 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders, that add liquidity if the Member Organization’s Adding ADV, excluding liquidity added as a Supplemental Liquidity Provider and as a DMM, is at least either:</u></p> <p style="margin-left: 40px;">(i) <u>0.22% of NYSE CADV, or</u></p> <p style="margin-left: 40px;">(ii) <u>0.15% of NYSE CADV that is at least 0.05% of NYSE CADV above the Member Organization’s 1Q 2021 adding liquidity as a percentage of NYSE CADV.</u></p> <p><u>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined receive an additional \$0.0001 per share.</u></p>	<u>\$0.0015</u>

<p>Adding Tier for Non-Displayed Providers – Equity per Share Credit – per transaction – for all orders, other than MPL Orders, that add liquidity to the NYSE if the Member Organization has at least (i) an Adding ADV of 0.35% of NYSE Tape A CADV, excluding any liquidity added by a DMM; (ii) an Adding ADV of Non-Display Limit Orders of at least 4 million shares; and (iii) 35% of the Member Organization’s Total Adding ADV is comprised of Non-Displayed Limit Orders.</p> <p>Member Organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</p>	<p>\$0.0023 (\$0.0006 for Non-Displayed Limit Orders) if an Adding ADV of at least 0.35%</p> <p>\$0.0026 (\$0.0007 for Non-Displayed Limit Orders) if an Adding ADV of at least 0.45%</p>
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<p>Equity per Share Charge<sup>3</sup> for all other non-Floor broker transactions (i.e., when taking liquidity from the NYSE) unless the charge set forth immediately below applies - per transaction</p>	<p>\$0.0030: <u>Tape A, B and C</u></p>
<p><u>Equity per Share Charge<sup>3</sup> for all other non-Floor broker transactions (i.e., when taking liquidity from the NYSE) if the Member Organization has an Adding ADV, excluding liquidity added by a DMM, that is at least:</u></p>	
<p><u>250,000 ADV<sup>4</sup> on the NYSE in Tape A</u></p>	<p><u>\$0.00295: Tape A</u> <u>\$0.00285: Tape B and C</u></p>
<p><u>3,500,000 ADV<sup>4</sup> on the NYSE in Tape A</u></p>	<p><u>\$0.00290: Tape A</u> <u>\$0.00285: Tape B and C</u></p>

<p>[Equity per Share Charge<sup>3</sup> for all other non-Floor broker transactions (i.e., when taking liquidity from the NYSE) – if the Member Organization has Adding ADV, excluding any liquidity added by a DMM, that is at least ]<u>7,000,000</u> [250,000] ADV<sup>4</sup> [on the NYSE] in Tape A [Securities] and [less than ]500,000 ADV [on the NYSE] in Tape B and Tape C [securities] combined [during the billing month]</p>	<p><u>\$0.00285: Tape A, B and C</u></p>
<p>[Equity per Share Charge<sup>3</sup> for all other non-Floor broker transactions (i.e., when taking liquidity from the NYSE) – if the Member Organization has Adding ADV, excluding any liquidity added by a DMM, that is at least] <u>14,000,000</u> [250,000] ADV<sup>4</sup> [on the NYSE] in Tape A [Securities] and [at least ]<u>750,000</u>[500,000] ADV [on the NYSE] in Tape B and Tape C [securities] combined [during the billing month]</p>	<p><u>\$0.0028</u>[275]: Tape A <u>\$0.00285: Tape B and C</u></p>

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Transaction Fees and Credits For Tape B and C Securities

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<b>Category</b>	<b>Adding Liquidity</b>	<b>Removing Liquidity</b>
<p>Securities at or above \$1.00</p>	<p>(\$0.0020) per share (displayed) unless a credit below applies</p> <p>No charge (non-displayed)</p>	<p>[\$0.0030 per share unless, including MPL orders, unless the Floor broker fee or Remove Tier fees below applies]</p>

Category	Adding Liquidity	Removing Liquidity
	<p>Per share in each tape (MPL) as specified above following the “Executions at the Close Equity Per Share Charge” section</p> <p>(\$0.0030) per share (Retail)</p> <p>(\$0.0026) per share (displayed) (Floor brokers)</p> <p>Cross trades (i.e., a trade where a Floor broker executes customer orders to buy and sell an equivalent amount of the same security) – (\$0.0006)</p>	<p>\$0.0026 per share (Floor brokers)</p> <p><u>Rates listed in the Tape A section of the Price List above unless a better rate below applies</u></p> <p><u>\$0.0026 per share for removing in both Tapes B and C if at least either:</u></p> <ul style="list-style-type: none"> <li>• <u>0.175% Removing ADV<sup>±</sup> in Tapes B and C combined as a percentage of Tape B and C CADV, that is also an 0.050% increase over the member organization’s November 2019 removing ADV, taken as a percentage of Tape B and C combined, or</u></li> <li>• <u>0.075% Removing ADV<sup>±</sup> in Tapes B and C combined as a percentage of Tape B and C CADV, that is also an 0.050% increase over the member organization’s November 2019 removing ADV, taken as a percentage</u></li> </ul>

Category	Adding Liquidity	Removing Liquidity
		<p><u>of Tape B and C combined, and execute an ADV<sup>4</sup> of MOC and LOC activity combined on the NYSE in Tape A securities of at least 0.35% of NYSE CADV.</u></p>
Securities below \$1.00	No Charge	0.3% of the total dollar value of the transaction

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<p><b>[Remove Tiers For Securities At or Above \$1.00 Requirement Rate]</b></p>	<p><b>[Tier 2]</b></p> <p>At least 50,000 shares Per Tape of Non-SLP and Floor broker Adding ADV<sup>4</sup>:</p>	<p><b>[Tier 1]</b></p> <p>At least either:</p> <ul style="list-style-type: none"> <li>0.175% Removing ADV<sup>±</sup> in Tapes B and C combined as a percentage of Tape B and C CADV, that is also an 0.050% increase over the member organization's November 2019 removing ADV, taken as a percentage of Tape</li> </ul>
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	<p>\$0.00285 per share for removing per Tape]</p>	<p>B and C combined, _or</p> <ul style="list-style-type: none"> <li>• 0.075% Removing ADV<sup>±</sup> in Tapes B and C combined as a percentage of Tape B and C CADV, that is also an 0.050% increase over the member organization's November 2019 removing ADV, taken as a percentage of Tape B and C combined, and execute an ADV<sup>4</sup> of MOC and LOC activity combined on the NYSE in Tape A securities of at least 0.35% of NYSE CADV.</li> </ul> <p>\$0.0026 per share for removing in both Tapes B and C]</p>
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