

Additions underscored
Deletions [bracketed]

NYSE Arca Options Fees and Charges

Effective Date: June [18]27, 2018

NYSE Arca OPTIONS: TRADE-RELATED CHARGES FOR STANDARD OPTIONS¹⁴

Unless Professional Customer executions are specifically delineated, such executions will be treated as “Customer” executions for fee/credit purposes. Firms, Broker Dealers, and Market Makers are collectively referred to herein as “Non-Customers.”

<u>NYSE FANG+ Index (FAANG) Transaction Fees*</u>	
<u>Fees</u>	<u>Rate Per Contract</u>
<u>All Non-Customers and Professional Customers – Per Contract Side</u>	<u>\$0.35</u>
<u>All Customers – Per Contract Side</u>	<u>\$0.00</u>
<u>Market Makers With Appointment in FAANG</u>	<u>\$0.00</u>
<i>*Fees apply to both Manual and Electronic Executions.</i>	

<u>QUALIFIED CONTINGENT CROSS TRANSACTION FEES</u>	
<u>Fees/Rebates</u>	<u>Rate Per Contract</u>
<u>All Non-Customers in All Issues – Per Contract Side</u>	<u>\$0.20</u>
<u>All Customers in All Issues – Per Contract Side</u>	<u>\$0.00</u>
<u>Floor Broker Rebate for Executed Orders – Per Contract Side¹³</u>	<u>\$0.035</u>

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. No Change
2. This fee is in addition to the Market Maker Fee and will be billed on a per issue basis to the OTP Firm acting as LMM in the issue. The Lead Market Maker Rights Fee does not apply to options on the NYSE FANG+ Index (FAANG). This fee will not apply to Interim LMMs acting in accordance with Rule 6.82-O(b)(4). This fee will not apply to issues that have been designated as “closing only” and are subject to delisting by the Exchange. An LMM with daily contract volume traded electronically of at least 0.40% Total Industry Customer equity and ETF option ADV (“TCADV), of which 0.08% TCADV are in its LMM appointment, will be charged 50% of the monthly Lead Market Maker Rights Fee. Whether an LMM will be charged 50% of the Lead Market Maker Rights Fee will be determined based on an average of the daily contract volume traded electronically by an LMM each trading day in a calendar month.

Fees for issues with Average National Daily Customer Contracts of 0 – 100 will be capped at 50 issues per OTP Firm and any additional issues in this volume range will not be charged.

Fees for issues with Average National Daily Customer Contracts of 101 – 1000 will be capped at 50 issues per OTP Firm and any additional issues in this volume range will not be charged.

Fees for issues with Average National Daily Customer Contracts of 1001 – 2000 will be capped at 50 issues per OTP Firm and any additional issues in this volume range will not be charged.

3. - 7. No Change.
8. The calculations for qualifications for monthly posting credits or discounts only include electronic executions and the Exchange will include the activity of either (i) affiliates or (ii) an Appointed OFP or Appointed MM, per Endnote 15. Any volume in options on NYSE FANG+ (FAANG) would be included in calculations to qualify for any volume-based incentives currently being offered on the Exchange. Unless Professional Customer executions are specifically delineated, such executions will be treated as “Customer” executions in calculating qualifications for monthly posting credits or discounts. Customer equity and ETF option ADV does not include Electronic Complex Order Executions. The Exchange may exclude from the calculation of ADV contracts traded any day (1) the Exchange is not open for the entire trading day and/or (2) there is an Exchange System Disruption. QCC orders are neither posted nor taken; thus QCC transactions are not included in the calculation of posted or taken execution volumes. Orders routed to another market for execution are not included in the calculation of taking volume. Market Maker Total Electronic Volume does not include Electronic Complex Order Executions, QCC Transactions, or orders routed to another exchange for execution. Total Industry Customer equity and ETF option average daily volume (“TCADV”) includes OCC calculated Customer volume of all types, including Complex Order Transactions and QCC

transactions, in equity and ETF options. An affiliate of an OTP Holder or OTP Firm is as defined in NYSE Arca Rule 1.1(a). For purposes of calculating the executed Average Daily Volume (“ADV”) of Retail Orders of U.S. Equity Market Share on the NYSE Arca Equity Market, a Retail Order must qualify for the Retail Order Tier set forth in the NYSE Arca Equities Fee Schedule.

9. - 15. No change.
