

Additions underscored
 Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: May [3]11, 2021

NYSE ARCA MARKETPLACE: TRADE RELATED FEES AND CREDITS¹

EXCHANGE TRANSACTIONS

ETP HOLDERS AND MARKET MAKERS²

Round Lots and Odd Lots (Per Share Price \$1.00 or Above)

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<p>Basic Rates (applicable when tier rates do not apply)</p>	<p>Tape A, Tape B and Tape C Securities:</p> <p>\$0.0035 per share (fee) for orders routed to any away market center that remove liquidity, including PO Orders.</p> <p>\$0.0006 per share (fee) for executions in an Early Open Auction, Core Open Auction, Trading Halt Auction and Closing Auction, other than executions resulting from Market Orders, Auction-Only Orders, Market-On-Close Orders and Limit-On-Close Orders.</p> <p>Tape A Securities:</p> <p>\$0.0020 per share (credit) for orders that provide liquidity</p> <p>\$0.003 per share (fee) for orders that take liquidity</p> <p>Primary Until 9:45 Orders and Primary After 3:55 Orders that are designated as Retail Orders and routed to the primary listing market will be charged \$0.0010 per share (fee)</p> <p>For MPL orders providing liquidity:</p>
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	<p>\$0.0015 per share (credit) if MPL Adding ADV during the billing month is at least 3 million shares;</p> <p>\$0.0015 per share (credit) if MPL Adding ADV during the billing month is at least 1.5 million shares and less than 3 million shares;</p> <p>\$0.0010 per share (credit) if MPL Adding ADV during the billing month is less than 1.5 million shares.</p> <p>\$0.0030 per share (fee) for MPL orders removing liquidity that are not designated as Retail Orders</p> <p>\$0.0010 per share (fee) for MPL orders removing liquidity that are designated as Retail Orders</p> <p>\$0.0015 per share (fee) for Market and Auction-Only Orders executed in an Early Open Auction, Core Open Auction or Trading Halt Auction, <u>or \$0.0005 per share (fee) if designated as Retail Orders</u>, capped at \$20,000 per month per Equity Trading Permit ID</p> <p>\$0.0012 per share (fee) for Market, Market-On-Close, Limit-On-Close, and Auction-Only Orders executed in a Closing Auction, <u>or \$0.0008 per share (fee) if designated as Retail Orders</u></p> <p>\$0.0012 per share (credit) for PO Orders that provide liquidity to the NYSE</p> <p>\$0.0010 per share (fee) for PO Orders routed to the NYSE that execute in the opening or closing auction</p> <p>No fee or credit for Limit Non-Displayed Orders that provide liquidity</p> <p>\$0.0030 per share (fee) for Limit Non-Displayed Orders that take liquidity</p> <p>\$0.0032 per share (credit) for Retail Orders that provide liquidity</p> <p>Tape B Securities:</p>
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	<p>\$0.0020 per share (credit) for orders that provide liquidity. An additional credit shall apply to ETP Holders and Market Makers affiliated with LMMs that provide displayed liquidity based on the number of Less Active ETP Securities in which the LMM is registered as the LMM. The applicable tiered-credits are noted below (See LMM Transaction Fees and Credits).</p> <p>\$0.003 per share (fee) for orders that take liquidity</p> <p>\$0.0030 per share (fee) for PO orders routed to Cboe BZX Exchange that execute in the opening or closing auction</p> <p>Primary Until 9:45 Orders and Primary After 3:55 Orders that are designated as Retail Orders and routed to the primary listing market will be charged \$0.0010 per share (fee)</p> <p>No per share (credit) for PO orders routed to NYSE American that provide liquidity to the NYSE American Book</p> <p>For MPL orders providing liquidity:</p> <p style="padding-left: 40px;">\$0.0020 per share (credit) if MPL Adding ADV during the billing month is at least 3 million shares;</p> <p style="padding-left: 40px;">\$0.0015 per share (credit) if MPL Adding ADV during the billing month is at least 1.5 million shares and less than 3 million shares;</p> <p style="padding-left: 40px;">\$0.0010 per share (credit) if MPL Adding ADV during the billing month is less than 1.5 million shares.</p> <p>\$0.0030 per share (fee) for MPL orders removing liquidity that are not designated as Retail Orders</p> <p>\$0.0010 per share (fee) for MPL orders removing liquidity that are designated Retail Orders</p> <p>\$0.0015 per share (fee) for Market and Auction-Only Orders executed in an Early Open Auction, Core Open</p>
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	<p>Auction or Trading Halt Auction, <u>or \$0.0005 per share (fee) if designated as Retail Orders</u>, capped at \$20,000 per month per Equity Trading Permit ID</p> <p>\$0.0012 per share (fee) for Market, Market-On-Close, Limit-On-Close, and Auction-Only Orders executed in a Closing Auction in NYSE Arca primary listed securities (includes all ETFs/ETNs), <u>or \$0.0008 per share (fee) if designated as Retail Orders</u></p> <p>\$0.0005 per share (fee) for PO Orders routed to NYSE American that execute in the opening or closing auction</p> <p>No fee or credit for Limit Non-Displayed Orders that provide liquidity</p> <p>\$0.0030 per share (fee) for Limit Non-Displayed Orders that take liquidity</p> <p>\$0.0032 per share (credit) for Retail Orders that provide liquidity</p> <p>\$0.0030 per share (fee) for PO orders routed to Cboe BZX Exchange that execute in the opening or closing auction</p> <p>Tape C Securities:</p> <p>\$0.0020 per share (credit) for orders that provide liquidity</p> <p>\$0.003 per share (fee) for orders that take liquidity</p> <p>Primary Until 9:45 Orders and Primary After 3:55 Orders that are designated as Retail Orders that are routed to the primary listing market will be charged \$0.0010 per share (fee)</p> <p>For MPL orders providing liquidity:</p> <p style="padding-left: 40px;">\$0.0020 per share (credit) if MPL Adding ADV during the billing month is at least 3 million shares;</p>
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	<p>\$0.0015 per share (credit) if MPL Adding ADV during the billing month is at least 1.5 million shares and less than 3 million shares;</p> <p>\$0.0010 per share (credit) if MPL Adding ADV during the billing month is less than 1.5 million shares.</p> <p>\$0.0030 per share (fee) for MPL orders removing liquidity that are not designated as Retail Orders</p> <p>\$0.0010 per share (fee) for MPL orders removing liquidity that are designated as Retail Orders</p> <p>\$0.0015 per share (fee) for Market and Auction-Only Orders executed in an Early Open Auction, Core Open Auction or Trading Halt Auction, <u>or \$0.0005 per share (fee) if designated as Retail Orders</u>, capped at \$20,000 per month per Equity Trading Permit ID</p> <p>\$0.0012 per share (fee) for Market, Market-On-Close, Limit-On-Close, and Auction-Only Orders executed in a Closing Auction, <u>or \$0.0008 per share (fee) if designated as Retail Orders</u></p> <p>\$0.0030 per share (fee) for PO orders routed to NASDAQ that execute in the opening or closing auction</p> <p>No fee or credit for Limit Non-Displayed Orders that provide liquidity</p> <p>\$0.0030 per share (fee) for Limit Non-Displayed Orders that take liquidity</p> <p>\$0.0032 per share (credit) for Retail Orders (as defined in Rule 7.44-E(a)(3) that provide liquidity</p>
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