

Additions underscored
 Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: June 14, 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>Retail Order Tier: For ETP Holders, including Market Makers, that execute an ADV⁴ of Retail Orders that provide liquidity during the month that is 0.15% or more of the US CADV³:</p>	<p>Tape A, Tape B, and Tape C Securities: \$0.0033 per share (credit) for Retail Orders that provide liquidity. For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
<p>Retail Order Step-Up Tier 1: For ETP Holders, including Market Makers, that provide liquidity an average daily share volume per month of 1.00% or more of the US CADV³, and execute an ADV⁴ of Retail Orders with a time-in-force of Day that add or remove liquidity during the month that is an increase of 0.40% or more of the US CADV above their April 2018 ADV taken as a percentage of US CADV:</p>	<p>Tape A, Tape B, and Tape C Securities: \$0.0038 per share (credit) for Retail Orders that provide displayed liquidity, unless a firm qualifies for a higher rebate based on its Tiered Rates. No fee for Retail Orders with a time-in-force of Day that remove liquidity. No fee charged or credit paid for Retail Orders where</p> <ul style="list-style-type: none"> • <u>Each side of the executed order shares the same MPID, and</u> • <u>Each side of the executed order is a Retail Order with a time-in-force of Day, and</u> • <u>The above executed orders have an ADV of at least 150,000 shares.</u>

	<p>Tape C Securities:</p> <p>\$0.0035 per share (credit) for orders that provide displayed liquidity. ETP Holders and Market Makers shall receive an incremental credit of \$0.0002 per share for orders that provide non-displayed liquidity. The incremental credit shall be in addition to the ETP Holder's or Market Maker's Tiered or Basic Rate credit(s).</p> <p>\$0.0027 per share (fee) for orders that take liquidity in Tape C Securities.</p> <p>For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
<p>Retail Order Step-Up Tier 2: For ETP Holders, including Market Makers, that execute an ADV of Retail Orders with a time-in-force of Day that add or remove liquidity during the month that is an increase of 0.10% or more of the US CADV above their April 2018 ADV taken as a percentage of US CADV:</p>	<p>Tape A, Tape B, and Tape C Securities:</p> <p>\$0.0035 per share (credit) for Retail Orders that provide displayed liquidity, unless a firm qualifies for a higher rebate based on its Tiered Rates. No fee for Retail Orders with a time-in-force of Day that remove liquidity.</p> <p><u>No fee charged or credit paid for Retail Orders where</u></p> <ul style="list-style-type: none"> • <u>Each side of the executed order shares the same MPID, and</u> • <u>Each side of the executed order is a Retail Order with a time-in-force of Day, and</u> • <u>The above executed orders have an ADV of at least 150,000 shares.</u> <p>For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
<p>Retail Order Step-Up Tier 3: For ETP Holders, including Market Makers, that execute an ADV of Retail Orders with a time-in-force of Day that add or remove liquidity during the month that is an increase of 0.20% or more of the US CADV above</p>	<p>Tape A, Tape B, and Tape C Securities:</p> <p>\$0.0036 per share (credit) for Retail Orders that provide displayed liquidity, unless a firm qualifies for a higher rebate based on its Tiered Rates. No fee for Retail Orders with a time-in-force of Day that remove liquidity.</p> <p><u>No fee charged or credit paid for Retail Orders where</u></p> <ul style="list-style-type: none"> • <u>Each side of the executed order shares the same</u>

<p>their April 2018 ADV taken as a percentage of US CADV:</p>	<p><u>MPID, and</u></p> <ul style="list-style-type: none"> • <u>Each side of the executed order is a Retail Order with a time-in-force of Day, and</u> • <u>The above executed orders have an ADV of at least 150,000 shares.</u> <p>For all other fees and credits, Tiered or Basic Rates apply based on a firm's qualifying levels.</p>
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