

Additions underlined
Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: [March 21]May 2, 2022

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 and Per Share Price Below \$1.00)

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VI. Tier Rates - Round Lots and Odd Lots (Per Share Price \$1.00 or Above):

Adding Tiers					
Tier	Minimum Requirement		Credit for Adding		
			Tape A	Tape B ^(a)	Tape C
Tier 1	0.70% Adding of CADV, or	84 million shares Adding ADV	(\$0.0031)	(\$0.0023)	(\$0.0032)
<u>Tier 2</u>	<u>0.50%</u> <u>Adding of</u> <u>CADV</u>		<u>(\$0.0030)</u>	<u>(\$0.0023)</u>	<u>(\$0.0031)</u>
Tier [2] <u>3</u>	0.30% Adding of CADV, or	0.25% Adding CADV, 0.40% Tape B Remove of Tape B CADV, and 0.25% Customer and Professional Customer Electronic Posting	(\$0.0029)	(\$0.0022)	(\$0.0029)

		Volume of TCADV on NYSE Arca Options by OTP Holder or OTP Firm affiliated with the ETP Holder			
Tier [3]4	0.20% Adding of CADV		(\$0.0025)*	(\$0.0022)	(\$0.0025)*
ETP Holders that qualify for Tier 1, Tier 2, [or] Tier 3 or Tier 4 are subject to the following fees:					
Routing			\$0.0030		
Removing Liquidity in Tape B			\$0.0029		
Closing Orders			\$0.0010		
*ETP Holders that qualify for Tier [3]4 and add 0.05% of CADV above May 2019 receive an incremental credit of (\$0.0002) for Tape A and C Adding					

- (a) An additional credit in Tape B shall apply to ETP Holders affiliated with LMMs that add 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).

Step Up Tiers							
Tier	Minimum Requirement				Credit for Adding Displayed Liquidity		
	Adding ADV of CADV	<u>Removing ADV of CADV</u>	Adding Increase of CADV	Adding Increase Baseline	Tape A	Tape B	Tape C
[Step Up Tier 1]	[0.45%]		[0.10%]	[Q1 2018]	[(0.0030)]	[(0.0023)]	[(0.0031)]
Step Up Tier [2]1	0.22%		0.06%	May 2018	(\$0.0028)	(\$0.0022)	(\$0.0028)
Step Up Tier [3]2 ^(b)			0.40%	September 2019	(\$0.0033)	(\$0.0034)	(\$0.0033)

<u>Step Up Tier 3</u>		<u>0.35% or</u>	<u>September 2019</u>	<u>(\$0.0031)</u>	<u>(\$0.0031)</u>	<u>(\$0.0031)</u>
		<u>0.50%</u>				

- (b) ETP Holders that qualify for Step Up Tier [3]2 shall not receive additional Tape B Tier credits for adding displayed liquidity, including any additional credits associated with Less Active ETP Securities, however, ETP Holders that are registered as a LMM may receive up to a combined credit of \$0.0036 per share on all its adding volume if that ETP Holder, together with its affiliates, executes Tape B adding ADV that is at least 40% over the

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Tape C Tiers for Adding		
Tier	Minimum Criteria for Tape C Adding	Rate
[Tier 4]	[0.15% of CADV, or 20 million shares ADV]	[(<u>\$0.0029</u>)]
Tier 3	0.20[25]% of CADV	(<u>\$0.0030</u> [31])
Tier 2	0.35% of CADV	(\$0.0033)
Tier 1	0.40% of CADV	(\$0.0034) \$0.0029 fee for Removing Liquidity

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