

Additions underlined  
Deletions [bracketed]

**New York Stock Exchange  
Price List 2017**

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**Last Updated: September [13]25, 2017**

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**Credit Applicable to Supplemental Liquidity Providers (“SLPs”)**

Credit per Share - per transaction - for affiliated SLPs <sup>±</sup> - when adding liquidity to the NYSE, with orders, other than MPL and Non-Displayed Reserve Orders, in securities with a per share price of \$1.00 or more, if [the] an SLP does not qualify for the higher credit set forth below (“SLP Non-Tier”) .....

- The applicable non-Tier
- Adding Credit, Tier 3
- Adding Credit, Tier 2
- Adding Credit or Tier 1
- Adding Credit

Credit per Share - per transaction - for affiliated SLPs <sup>±</sup> - when adding liquidity to the NYSE with orders, other than MPL orders, in securities with a per share price of \$1.00 or more, if [the]an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be aggregated) and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) of an ADV<sup>4</sup> of more than 0.20% of NYSE CADV<sup>4</sup> (for SLPs that are also DMMs and subject to Rule 107B(i)2)(A), more than 0.20% after a discount of the percentage for the prior quarter of NYSE CADV in DMM assigned securities as of the last business day of the prior month<sup>8</sup> (“SLP Tier 3”). In its first calendar month as an SLP, an SLP qualifies for this credit regardless of whether it meets the requirement to provide liquidity with an ADV of more than the applicable threshold percentage of NYSE CADV in the applicable month ..... \$0.0023; or \$0.0006 if a Non-Displayed Reserve Order

Credit per Share - per transaction – for affiliated SLPs <sup>±</sup> - when adding liquidity to the NYSE with orders, other than MPL orders, in securities with a per share price of \$1.00 or more, if [the]an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be aggregated) and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) of an ADV<sup>4</sup> of more than 0.45% of NYSE CADV (for SLPs that are also DMMs and subject to Rule 107B(i)2)(A), more than 0.45% after a discount of the percentage for the prior quarter of NYSE CADV in DMM assigned securities as of the last business day of the prior month<sup>8</sup> (“SLP Tier 2”) ..... \$0.0026; or \$0.0009 if a Non-Displayed Reserve Order

Credit per Share – per transaction – for affiliated SLPs<sup>±</sup> – when adding liquidity to the NYSE with orders, other than MPL orders, in securities with a per share price of \$1.00 or more, if [the]an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be aggregated), and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) of an ADV<sup>4</sup> of more than 0.60% of NYSE CADV (for SLPs that are also DMMs and subject to Rule 107B(i)(2)(A), more than 0.60% after a discount of the percentage for the prior quarter of NYSE CADV in DMM assigned securities as of the last business day of the prior month<sup>8</sup> (“SLP Tier 1A”) ..... Order

\$0.00275; or \$0.00105 if a Non-Displayed Reserve

Credit per Share – per transaction – for affiliated SLPs<sup>±</sup> – when adding liquidity to the NYSE with orders, other than MPL orders, in securities with a per share price of \$1.00 or more, if [the]an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be aggregated), and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) of an ADV<sup>4</sup> of more than 0.90% of NYSE CADV (for SLPs that are also DMMs and subject to Rule 107B(i)(2)(A), more than 0.90% after a discount of the percentage for the prior quarter of NYSE CADV in DMM assigned securities as of the last business day of the prior month<sup>8</sup> (“SLP Tier 1”) ..... Order

\$0.0029; or \$0.0012 if a Non-Displayed Reserve

Credit per Share – per transaction – for SLPs – when adding liquidity to the NYSE with orders designated as “retail” (i.e., orders that satisfy the Retail Modifier requirements of Rule 13) in securities with a per share price of \$1.00 or more .....

\$0.0030; or the rates set forth elsewhere in this section if a Non-Displayed Reserve Order or an MPL Order

Credit per Share – per transaction – for affiliated SLPs <sup>±</sup> – when adding liquidity to the NYSE in securities with a per share price of less than \$1.00, if [the]an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be aggregated) and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) of an ADV of more than 0.22% of NYSE CADV in the applicable month ..... \$0.0005

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<sup>±</sup> Affiliated member organizations that are SLPs are eligible for the most favorable rate for any such security traded in an applicable month provided that one or both affiliated member organizations request and are approved for aggregation of eligible activity pursuant to the requirements set forth in this Price List.