

Additions underlined
Deletions [bracketed]

**New York Stock Exchange
Price List 2019**

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Last Updated: January 2, 2020

Transaction Fees*

Regular Session Trading¹

Transactions in stocks with a per share stock price of \$1.00 or more

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Executions at the Open Equity per share Charge ² – per transaction (both sides).	\$0.0010 \$0.0003 (Floor broker executions)
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Executions at the Close Equity Per Share Charge – per transaction (both sides) –

Closing Offset (“CO”) Orders	No Charge
[Verbal Interest at the Close	\$0.0010]

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² \$30,000 cap per month per member organization provided that the member organization executes an average daily trading volume (“ADV”) that adds liquidity to the NYSE during the billing month (“Adding ADV”), excluding liquidity added by a Designated Market Maker, of at least five million shares[, unless the lower cap below applies. \$10,000 cap per month per member organization provided that the member organization executes an ADV that takes liquidity from the NYSE during the billing month (“Taking ADV”), excluding liquidity taken by a Designated Market Maker, of at least 1.20% of NYSE CADV and an ADV of orders for execution at the open (“Open ADV”) of at least 8 million shares].

<p>Executions at the Close:</p> <p>For d-Quote, Floor broker executions swept into the close, [excluding]including verbal interest, and executions at the close, excluding MOC Orders, LOC Orders and CO Orders.</p>	<p>The first 750,000 ADV⁴ of the aggregate of executions at the close by a member organization.....No Charge⁹</p> <p>After the first 750,000 ADV of the aggregate of executions at the close by a member organization</p> <ul style="list-style-type: none"> • d-Quotes last modified¹⁰ by the member organization earlier than 25 minutes before the scheduled close of trading.....\$0.0003 • d-Quotes last modified¹⁰ from 25 minutes up to but not including 3 minutes before the scheduled close of trading\$0.0007 • d-Quotes last modified¹⁰ in the last 3 minutes before the scheduled close of trading.....\$0.0008 (Firms in MOC/LOC Tiers 1 and 2)\$0.0010 (All other firms) • Orders from continuous trading swept into the close.....\$0.0007
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<p>Tier 4 Adding Credit - Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders that add liquidity to the NYSE if the Member Organization <u>either (i) has Adding ADV in MPL orders that is at least 4 million shares ADV, excluding any liquidity added by a DMM, and (ii) executes MOC and LOC orders of at least 0.10% of NYSE CADV or (i) has an Adding ADV that is at least 0.175% of NYSE CADV, (ii) ADV⁴ of the Member Organization’s total close activity (MOC/LOC and other executions at the close) on the NYSE of at least 0.05% of NYSE CADV, and (iii) an Adding ADV 25,000 shares in Orders designated as “retail” (i.e., orders that satisfy the Retail Modifier requirements of Rule 13) that add liquidity to the NYSE.</u></p> <p>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in securities traded pursuant to Unlisted Trading Privileges (Tapes B and C) on the Pillar Trading Platform of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.0001 per share.</p>	<p>\$0.0015</p>
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Crossing Sessions I and II

<p>Crossing Session I – No charge</p>	
<p>Crossing Session II – Equity per Share (both sides)</p>	<p>\$0.0004 (\$200,000 cap per month per member organization[, unless the lower cap below applies; \$15,000 cap per month per member organization provided that the member organization executes a Taking ADV, excluding</p>

	liquidity taken by a Designated Market Maker, of at least 1.20% of NYSE CADV and Open ADV of at least 8 million shares)]
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SLP Provide Tiers⁺ For Securities at or above \$1.00				
	Non Tier	Tier 2	Tier 1	Tape A Tier
Per-Tape Requirement (SLP Provide % Tape CADV) unless otherwise indicated	Not Applicable	0.03% per tape and quotes, calculated monthly, in excess of the 10% average quoting requirement in 200 or more assigned securities in Tapes B and C combined ⁺⁺ pursuant to Rule 107B	0.10% for Tape B and 0.075% for Tape C, and quotes, calculated monthly, in excess of the 10% average quoting requirement in 400 or more assigned securities in Tapes B and C combined ⁺⁺ pursuant to Rule 107B	SLP Tier 1 in both Tape B and C or quotes, calculated monthly, in excess of the 10% average quoting requirement in 300 or more assigned securities separately in Tapes B and Tape C combined ⁺⁺ pursuant to Rule 107B
SLP Display	(\$0.0026) per		(\$0.0031) per	(\$0.00005) per

Provide Rate	share per tape in assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B	(\$0.0029) per share per tape in assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B	share per tape in assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B (\$0.0033) per share per tape in assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B and provides liquidity in all assigned securities of at least <u>0.25%</u> [0.30%] of Tapes B and C CADV combined	share in addition to the Tape A SLP credit in Tape A assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B
SLP Non-Display Provide Rate	(\$0.0008) per share per tape in assigned securities where the SLP meets the	(\$0.0011) per share per tape in assigned securities	(\$0.0015) per share per tape, (\$0.0025 if MPL order) in	Not Applicable

	10% average quoting requirement pursuant to Rule 107B	where the SLP meets the 10% average quoting requirement pursuant to Rule 107B	assigned securities where the SLP meets the 10% average quoting requirement pursuant to Rule 107B	
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