

Additions underlined
 Deletions [bracketed]

**New York Stock Exchange
 Price List 2021**

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Last Updated: April 1, 2021

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 Close Equity Per Share Charge – per transaction (both sides) –

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<p>Tier 1 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 (i) has Adding ADV which shall exclude any liquidity added by a DMM that is at least 1.20% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.12% of NYSE CADV.</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]<u>Tape B and C Securities</u> of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</p>	<p>\$0.0022</p>
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<p>Tier 2 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 (i) has Adding ADV that is at least 0.75% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.10% of NYSE CADV or executes an ADV during the billing month of at least one million shares in Retail Price Improvements Orders.</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]<u>Tape B and C Securities</u> of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</p>	\$0.0020
<p>Tier 3 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 either (A)(i) has an Adding ADV that is at least 0.40% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.05% of NYSE CADV, or (B)(i) has an Adding ADV that is at least 0.30% of NYSE CADV, (ii) executes MOC and LOC orders of at least 0.05% of NYSE CADV, and (iii) has an Adding ADV in MPL orders of at least 200,000 shares.</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]<u>Tape B and C Securities</u> of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.0001 per share.</p>	\$0.0018

<p><u>Adding Tier for Non-Displayed Providers – Equity per Share Credit – per transaction – for all orders, other than MPL Orders, that add liquidity to the NYSE if the Member Organization has at least (1) an Adding ADV of 0.35% of NYSE Tape A CADV, excluding any liquidity added by a DMM; (ii) an Adding ADV of Non-Display Limit Orders of at least 4 million shares; and (iii) 35% of the Member Organization’s Total Adding ADV is comprised of Non-Displayed Limit Orders.</u></p> <p><u>Member Organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tape B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</u></p>	<p><u>\$0.0023 (\$0.0006 for Non-Displayed Limit Orders) if an Adding ADV of at least 0.35%</u></p> <p><u>\$0.0026 (\$0.0007 for Non-Displayed Limit Orders) if an Adding ADV of at least 0.45%</u></p>
<p>Step Up Tier 1 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Displayed Limit Orders, that add liquidity to the NYSE if the Member Organization has Adding ADV, excluding any liquidity added by a DMM, that is (i) at least 0.45% of NYSE CADV, and (ii) at least 0.20% of NYSE CADV over that Member Organization’s March 2019 adding liquidity taken as a percentage of NYSE CADV.</p> <p>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tapes B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.00005 per share.</p>	<p>\$0.0019 if an Adding ADV of at least 0.45% and less than 0.65% of NYSE CADV</p> <p>\$0.0020 if an Adding ADV of at least 0.65% of NYSE CADV and at least 0.60% of NYSE CADV over that Member Organization’s March 2019 adding liquidity taken as a percentage of NYSE CADV</p>

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Credit Applicable to Supplemental Liquidity Providers (“SLPs”)

<p>Credit per Share - per transaction - for affiliated SLPs⁺ - 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 an SLP does not qualify for the higher credit set forth below (“SLP Non-Tier”)</p>	<p>The applicable Non-Tier or Tiered non-SLP Adding Credit</p>
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Credit per Share – per transaction – for affiliated SLPs⁺ – 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 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),
- (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 ADV⁴ of more than 0.65% of NYSE CADV^{**} (for SLPs that are also DMMs and subject to Rule 107B(i)(2)(A), more than 0.65% 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),⁸
- (iii) has Adding ADV, including non-SLP Adding ADV, but excludes any liquidity added by a DMM, that is at least 0.85% of NYSE CADV, and
- (iv) executes an ADV, including non-SLP Adding ADV, but excludes any liquidity added by a DMM, of at least 250,000 shares in Retail Price Improvements Orders. (“SLP Tier 5”)

SLPs that (1) meet the above requirements and (2) add liquidity in Tape B and C securities of at least 0.25% of Tape B and Tape C CADV^{**} combined, will receive an additional \$0.00005 per share in securities with a per share price of \$1.00 that meet 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). In addition, SLPs will receive an additional \$0.00005 per share for adding liquidity, other than MPL and Non-Display Reserve orders, in securities where they are not assigned as an SLP or do not meet the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B.

\$0.0031; or
\$0.0012 if a Non-
Displayed Reserve
Order

<p>Credit per Share – per transaction – for affiliated SLPs⁺ – for SLPs that either (1) are in the first two calendar months as an SLP, or (2) add 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 ADV4 of more than 0.03% of NYSE CADV** after averaging less an adding ADV4 of than 0.01% in each of the prior 3 months, 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,⁸ 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 any of the above SLPs 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) (“SLP Tier 4”)</p> <p>SLPs that (1) meet the above requirements and (2) add liquidity in Tape B and C securities of at least 0.25% of Tape B and Tape C CADV combined,** will receive an additional \$0.00005 per share in securities with a per share price of \$1.00 that meet 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)</p>	<p>\$0.0029; or \$0.00105 if a Non-Displayed Reserve Order</p>
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