

Additions underlined
 Deletions [bracketed]

**New York Stock Exchange
 Price List 2021**

* * * * *

Last Updated: May 17[6], 2021

Transaction Fees*

Regular Session Trading¹

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

* * * * *

Non-electronic agency transactions of Floor brokers that execute against the Book intraday (i.e., other than at the open or close) - Equity per Share Credit – per transaction	\$0.0006
Executions at the Open Equity per share Charge ² – per transaction (both sides).	\$0.0010 \$0.0003 (Floor broker executions) <u>\$0.0005 (designated with a Retail Modifier as defined in Rule 13 (“Retail Modifier”))</u>

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

* * * * *

² \$35[0],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.

<p>MOC/LOC Tier 3:</p> <p>For all MOC and LOC orders from any member organization in the current billing month executing an ADV⁴ of MOC activity on the NYSE of at least 0.25% of NYSE (Tape A) CADV, ADV⁴ of the member organization's total close activity (MOC/LOC and other executions at the close) on the NYSE of at least 0.35% of NYSE (Tape A) CADV, and whose MOC activity comprised at least 35% of the member organization's total close activity (MOC/LOC and other executions at the close).</p>	<p>MOC Orders: \$0.0008</p> <p>LOC Orders: \$0.0009</p>
<p>Non-Tier MOC/LOC:</p> <p>For all MOC and LOC orders from any member organization in the prior three billing months that do not meet the Tier 1, Tier 2, or Tier 3 requirements above, the following rates shall apply.</p>	<p>MOC Orders: \$0.0010</p> <p>MOC Orders Executed by a Floor broker: \$0.0005, unless lower tiered fee applies</p> <p>LOC Orders: \$0.0011</p> <p><u>MOC and LOC Orders with a Retail Modifier: \$0.0008, unless lower tiered fee applies</u></p>
<p>Executions at the Close:</p> <p>For [d-Quote]D Order, Floor broker executions swept into the close, 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]D Orders last modified¹⁰ by the member organization earlier than 25 minutes before the scheduled close of trading.....\$0.0003 • [d-Quotes]D Orders last modified¹⁰ from 25

	<p>minutes up to but not including 3 minutes before the scheduled close of trading\$0.0007</p> <ul style="list-style-type: none"> • [d-Quotes]<u>D</u> Orders last modified¹⁰ in the last 3 minutes before the scheduled close of trading.....\$0.0008 (Firms in MOC/LOC Tiers 1 and 2, both with <u>Adding ADV of at least 0.50% of Tape A CADV</u>) <p>.....\$0.0010 (All other firms)</p> <ul style="list-style-type: none"> • Orders from continuous trading swept into the close.....\$0.0007
<p>Equity per Share Charge³ – per transaction –MPL orders that remove liquidity from the NYSE (Adding Tier Credits do not apply) and [are not designated]with [a]<u>no</u> Retail Modifier[as defined in Rule 13.]</p>	<p>\$0.0030</p>
<p>Equity per Share Charge³ – per transaction – for MPL orders that remove liquidity from the NYSE (Adding Tier Credits do not apply) and [are designated]with a Retail Modifier[as defined in Rule 13]</p>	<p>\$0.0010</p>

¹⁰ As used herein, “last modified” means the later of the order’s entry time or the final modification or cancellation time for any [d-Quote order]D Order designated for the close with the same broker badge, entering firm mnemonic, symbol, and side.

<p>Step Up Tier 2 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 quotes at least 15% of the NBBO in 300 or more Tape A securities on a monthly basis and has Adding ADV in Tapes A, B and C securities as a percentage of Tapes A, B and C CADV, excluding any liquidity added by a DMM, that</p> <ul style="list-style-type: none"> (i) is at least [two]<u>1.75</u> times more than the Member Organization’s Adding ADV in Tapes A, B and C securities in July 2019 as a percentage of Tapes A, B and C CADV, (ii) adds liquidity as an Supplemental Liquidity Provider in Tape A securities of at least <u>0.05</u>[10]% of NYSE CADV, and (iii) exceeds the Member Organization’s Adding ADV, excluding any liquidity added by a DMM, in Tapes A, B and C securities in July 2019 as a percentage of Tapes A, B and C CADV by at least <u>0.1</u>[2]0% of Tapes A, B and C CADV. <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 for adding liquidity in Tape A securities.</p>	<p>In Tapes A, B and C securities:</p> <p><u>\$0.0025 if an increase of at least 0.10% and less than 0.20%</u></p> <p>\$0.0029 if an increase of at least 0.20% and less than 0.35%</p> <p>\$0.0030 if an increase of at least 0.35% and less than 0.45%</p> <p>\$0.0031 if an increase of at least 0.45% or more</p>
--	---

<p>Step Up Tier 5 Adding Credit – Incremental Equity per Share Credit – per transaction – for all orders that add liquidity to the NYSE, other than MPL and Non-Displayed Limit Orders, from a qualifying member organization’s MPID or mnemonic, if the member organization has Adding ADV, excluding any liquidity added by a DMM, that is at least 1.00% of Tape A CADV, and if the MPID or mnemonic has an Adding ADV as a percentage of Tape A CADV, excluding any liquidity added by a DMM, that is:</p> <ul style="list-style-type: none"> (i) at least two times more than that MPID’s or mnemonic’s Adding ADV in January 2021 as a percentage of Tape A CADV, and (ii) at least 0.10% of Tape A CADV over that MPID’s or mnemonic’s Adding ADV in January 2021 as a percentage of Tape A CADV. 	<p>\$0.0001 incremental credit if an increase of at least 0.10% and less than 0.175% of Tape A CADV</p> <p>\$0.0002 incremental credit if an increase of at least 0.175% of Tape A CADV</p>
<p>Equity per Share Credit – per transaction – for all transactions of orders, other than MPL and Non-Display Reserve orders[, designated as “retail” (i.e., orders that satisfy the <u>with a Retail Modifier</u> [requirements of Rule 13)]that add liquidity to the NYSE</p>	<p>\$0.0030</p>

* * * * *

<p>Equity per Share Charge³ – per transaction – for a Floor broker [Discretionary e-Quote (“d-Quote”)]<u>D Order</u> that removes liquidity unless the charge set forth immediately below applies</p>	<p>\$0.0005</p>
--	-----------------

<p>Equity per Share Charge³ – per transaction – for all Floor broker [d-Quotes]D Orders that remove liquidity from any Member Organization executing an ADV³ of at least 500,000 shares in [d-Quotes]D Orders that remove liquidity from the NYSE in that month</p>	<p>\$0.0015</p>
<p>Equity per Share Charge³ for all other Floor broker transactions (i.e., when taking liquidity from the NYSE) - per transaction</p>	<p>\$0.0024; or \$0.0030 if an MPL Order; or No Charge for MPL orders [designated]with a Retail Modifier[as defined in Rule 13]</p>

* * * * *

Credit Applicable to Supplemental Liquidity Providers (“SLPs”)

* * * * *

<p>Credit per Share – per transaction – for SLPs – when adding liquidity to the NYSE with <u>orders with a Retail Modifier</u>[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</p>	<p>\$0.0030; or the rates set forth elsewhere in this section if a Non-Displayed Reserve Order or an MPL Order</p>
--	--

<p>Credit per Share – per transaction – for affiliated SLPs+ – when adding liquidity to the NYSE in securities with a per share price of less than \$1.00, 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) 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 .</p>	\$0.0005
---	----------

* * * * *

Fees and Credits Applicable to Executions in the Retail Liquidity Program

<p>Retail Liquidity Provider (“RLP”) credit fee per share per execution of a Retail Price Improvement Order (“RPI”) against a Retail Order (this rate is applicable to an RLP during the first two calendar months of operation as an RLP, and, beginning on the first day of the third consecutive calendar month of operation as an RLP, is applicable to an RLP that satisfies the applicable percentage requirement of Rule <u>7.44</u>[107C])</p>	\$0.0003
<p>Fee per share per execution of an RPI against a Retail Order by [(i) a non-RLP member organization (except DMMs), unless the rate immediately below applies; and (ii)]an RLP that, beginning on the first day of the third consecutive calendar month of operation as an RLP, does not satisfy the applicable percentage requirement of Rule <u>7.44</u>[107C]</p>	\$0.0003
<p>Non-RLP member organization (except DMMs) credit per share per execution of an RPI against a Retail Order[, if the</p>	

Non-RLP member organization (except DMMs) executes an ADV ⁴ during the month of at least 500,000 shares of RPIs]	\$0.0003
---	----------

* * * * *