

Additions underlined  
Deletions [bracketed]

**New York Stock Exchange  
Price List 2021**

\* \* \* \* \*

**Last Updated: [July 1]August 2, 2021**

**Transaction Fees\***

Regular Session Trading<sup>1</sup>

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

\* \* \* \* \*

**Fees and Credits applicable to Designated Market Makers (“DMMs”)**

\* \* \* \* \*

<p>Monthly rebate payable to a DMM, in addition to the current rate on transactions and prorated to the number of trading days in a month that a stock is assigned to a DMM, for each security that has a Security CADV of less than 100,000 shares in the previous month* (regardless of whether the stock price exceeds \$1.00) in any month in which the DMM meets the Less Active Securities Quoting Requirement. DMMs that meet the Less Active Securities Quoting Requirement and the DMM Additional Quoting requirement in the billing month will qualify for the next highest monthly rebate.</p>	<p>\$400.00 if the DMM quotes at the NBBO in the applicable security 50% of the time or more in the applicable month;          \$325.00 if the DMM quotes at least 40% and up to 50% of the time in the applicable month;          \$250.00 if the DMM quotes at least 30% and up to 40% of the time in the applicable month;          \$175.00 if the DMM quotes at least 20% and up to 30% of the time in the applicable month;          \$100.00 if the DMM quotes at least 15% and up to 20% of the time in the applicable month</p>
<p>[Monthly rebate payable to a DMM with 30 or fewer assigned securities in the previous month (regardless of whether the stock price exceeds \$1.00) if the DMM quotes at the NBBO in the applicable security at least 25% of the time in the applicable month. The monthly rebate is in addition to the current rate on transactions and prorated to the number of trading days in a month that an eligible stock is assigned to a DMM.]</p>	<p>[\$1,500 per security up to a monthly maximum of \$10,000]</p>

Equipment Fees<sup>[11]</sup>

Schedule of Annual Charges, unless otherwise noted

\* \* \* \* \*

[<sup>11</sup> The Booth Telephone System charges and all Service Charges except for the Internet Equipment Monthly Hosting Fee set forth below are waived at the rate of 50% for the billing month commencing January 1, 2021 through the earlier of the first full month of a full reopening of the Trading Floor facilities to Floor personnel or June 2021 only for member organizations (1) with at least one trading license, a physical trading Floor presence and Floor broker executions accounting for 40% or more of the member organization’s combined adding, taking, and auction volumes during March 1 to March 20, 2020 or, if not a member organization during March 1 to March 20, 2020, based on the member organization’s combined adding, taking, and auction volumes during its first month as a member organization on or after May 26, 2020, and (2) that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels or, for member organizations that began Floor operations after March 2020, are unable to operate at more than 50% of their Exchange-approved on-Floor staffing levels, both excluding part-time Floor brokers (“Flex brokers”).]

\* \* \* \* \*

Registration & Regulatory Fees

\* \* \* \* \*

Bond Trading License	\$1,000.00/ year, waived for 2021
----------------------	-----------------------------------

Annual Fee:	
All member organizations, including Floor brokers with 10 or more trading licenses (excluding Regulated Only Members)	\$4,165/month for the first trading license held by a member organization unless a below rate is deemed applicable <sup>15</sup>

<p>Member organizations with 3-9 trading licenses</p>	<p>\$2,915/month for the first trading license held by a member organization that has Floor broker executions accounting for 40% or more of the member organization's combined adding and taking volumes during the billing month<sup>15</sup></p>
<p>Member organizations with 1-2 trading licenses</p>	<p>\$2,080/month for the first trading license held by a member organization that has Floor broker executions accounting for 40% or more of the member organization's combined adding and taking volumes during the billing month<sup>15</sup></p>
<p>Regulated Only Members as Defined in Rule 2(b)(ii) Annual Administrative Fee</p>	<p>\$2,080/month<sup>15</sup></p>

<sup>15</sup> There is no charge for additional licenses held by a member organization. There is no charge for such trading license that is in place for 10 calendar days or less in a calendar month. A trading license in place for 11 calendar days or more in a calendar month will be charged the applicable license fee for that month. For the above lower rates, the number of licenses will be based on those held by the member organization for 10 or more days in the billing month (including days the Exchange is not open for the entire trading day). [ The indicated trading license fee is waived at the rate of 50% only for the billing month commencing January 1, 2021 through the earlier of the first full month of a full reopening of the Trading Floor facilities to Floor personnel or June 2021 for member organizations (1) with at least one trading license, a physical trading Floor presence and Floor broker executions accounting for 40% or more of the member organization's combined adding and taking volumes during March 1 to March 20, 2020 or, if not a member organization during March 1 to March 20, 2020, based on the member organization's combined adding, taking, and auction volumes during its first month as a member organization on or after May 26, 2020, and (2) that are unable to operate at more than 50% of their March 2020 on-Floor staffing levels or, for member organizations that

began Floor operations after March 2020, are unable to operate at more than 50% of their Exchange-approved on-Floor staffing levels, both excluding part-time Floor brokers (“Flex brokers”).]

\* \* \* \* \*