

Additions underscored  
 Deletions [bracketed]

**New York Stock Exchange  
 Price List 2024**

**Last Updated: January 12, 2024**

**Transaction Fees\***

Regular Session Trading<sup>1</sup>

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

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Adding Credit for Non-Displayed Limit Orders when adding liquidity to the NYSE unless a higher credit applies.	No credit
<u>Non Display Tier 2</u>  If the member organization has Adding ADV in Non-Displayed Limit Orders that is at least 0.12% of Tapes A, B and C CADV combined, excluding any liquidity added by a DMM.	\$0.0010  <u>0.10% of the total dollar value of the transaction for securities with a per share stock price below \$1.00</u>
<u>Non Display Tier 1</u>  If the member organization has Adding ADV in Non-Displayed Limit Orders that is at least 0.15% of Tapes A, B and C CADV combined, excluding any liquidity added by a DMM.	\$0.0018  <u>0.18% of the total dollar value of the transaction for securities with a per share stock price below \$1.00</u>

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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
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Executions at the Open Equity per share Charge <sup>2</sup> – per transaction (both sides).	<p>\$0.0010</p> <p>\$0.0003 (Floor broker executions)</p> <p>[\$0.0005 (designated with a Retail Modifier as defined in Rule 13 (“Retail Modifier”))]</p>
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## Executions at the Close Equity Per Share Charge – per transaction (both sides) –

Closing Offset (“CO”) Orders	No Charge
<p><b>MOC/LOC Tier 1:</b></p> <p>For all MOC and LOC orders from any member organization in the prior three billing months executing an ADV<sup>4</sup> of MOC activity on the NYSE of at least 0.45% of NYSE (Tape A) CADV, ADV<sup>4</sup> of the member organization’s total close activity (MOC/LOC and other executions at the close) on the NYSE of at least 0.7% of NYSE 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: \$0.0007</p> <p>LOC Orders: \$0.0007</p>
<p><b>MOC/LOC Tier 2:</b></p> <p>For all MOC and LOC orders from any member organization in the prior three billing months executing an ADV<sup>4</sup> of MOC activity on the NYSE of at least 0.35% of NYSE (Tape A) CADV, ADV<sup>4</sup> of the member organization’s total close activity (MOC/LOC and other executions at the close) on the NYSE of at least 0.525% 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: \$0.0008</p>
<p><b>MOC/LOC Tier 3:</b></p> <p>For all MOC and LOC orders from any member organization in the current billing month executing an ADV<sup>4</sup> of MOC activity on the NYSE of at least 0.20% of NYSE (Tape A) CADV, ADV<sup>4</sup> of the member organization’s total close activity (MOC/LOC and other executions at the close) on the NYSE of at least 0.30% of NYSE (Tape A) CADV, and whose MOC</p>	<p>MOC Orders: \$0.0009</p> <p>LOC Orders: \$0.0009</p>

<p>activity comprised at least 35% of the member organization's total close activity (MOC/LOC and other executions at the close).</p>	
<p><b>Non-Tier MOC/LOC:</b></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>[MOC and LOC Orders with a Retail Modifier: \$0.0008, unless lower tiered fee applies]</p>
<p><b>Incremental Discounts on MOC Orders</b></p> <p>Member organizations that meet the requirements of the MOC/LOC Tiers above can qualify for the following discounts on MOC Orders in the billing month:</p> <p>If the member organization has an 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 is at least 0.50%,</p> <p>or</p> <p>If the member organization has an 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 is at least 1.00%.</p> <p>If the member organization has an ADV of at least 250,000 shares entered and executed by its affiliated Floor broker.</p>	<p>Incremental per share discount on MOC orders of:</p> <p>\$0.0001</p> <p>or</p> <p>\$0.0002</p> <p>\$0.0001</p>
<p><b>Executions at the Close:</b></p> <p>For D Orders, 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 ADV<sup>4</sup> of the aggregate of executions at the close by a member organization.....No Charge<sup>9</sup></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"> <li>• D Orders last modified<sup>10</sup> by the member</li> </ul>

	<p>organization earlier than 25 minutes before the scheduled close of trading.....\$0.0003</p> <ul style="list-style-type: none"> <li>• D Orders last modified<sup>10</sup> from 25 minutes up to but not including 3 minutes before the scheduled close of trading.....\$0.0007</li> <li>• D Orders last modified<sup>10</sup> in the last 3 minutes before the scheduled close of trading[.....] <ul style="list-style-type: none"> <li>o <u>\$0.0008 (Firms in MOC/LOC Tiers 1 and 2, both with Adding ADV of at least 0.50% of Tape A CADV or MOC/LOC Tiers 1, 2 or 3 with Adding ADV of at least 1.05% of Tape A CADV)</u></li> <li>o <u>\$0.0009 (Firms in MOC/LOC Tiers 1, 2 and 3 with Adding ADV of at least 0.65% of Tape A CADV)</u></li> </ul> </li> </ul> <p>[• ....]o \$0.0010 (All other firms)</p> <ul style="list-style-type: none"> <li>• Orders from continuous trading swept into the close.....\$0.0008</li> </ul>
<p>Equity per Share Charge – per transaction – MPL orders that remove liquidity from the NYSE (Adding Tier Credits do not</p>	<p>\$0.0030</p>

apply) and with no Retail Modifier, as defined in Rule 13 (“Retail Modifier”).	
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Fees and Credits applicable to Designated Market Makers (“DMMs”)

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Incentive for DMMs with 150 or fewer assigned securities in the previous month for the following assigned issues that meet the Incentive Quoting Requirement <u>1</u> or <u>2</u>	Monthly rebate payable per symbol in securities where qualified DMMs quote at the NBBO [at least ]15% of the time (“Incentive Quoting Requirement <u>1</u> ”)	<u>Monthly rebate payable per symbol in securities where qualified DMMs quote at the NBBO 25% of the time (“Incentive Quoting Requirement <u>2</u>”)</u>	Minimum Display Credit for SLP Adding	<u>Non Display Limit Orders Eligible for Non Display Tiers by the Member Organization Operating the DMM</u>
1-24 assigned issues	\$250.00	<u>\$250.00</u>	N/A	<u>N/A</u>
25-74 assigned issues	\$500.00	<u>\$1,250.00</u>	\$0.0023	<u>Non Display Tier 2</u>
75-150 assigned issues	\$1000.00	<u>\$1,500.00</u>	\$0.0026	<u>Non Display Tier 1</u>

The Minimum Display Credit for SLP Adding set forth above is in SLP symbols that meet the 10% average quoting requirement in an assigned security pursuant to Rule 107B, other than MPL Orders, in securities with a per share price of \$1.00 or more.

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.

**DMM Exchange Traded Product (“ETP”) Incentive**

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**Routing Fees:**

- o For securities at or above \$1.00, no fee for a Directed Order, as defined in Rule 7.31(f)(1), routed to OneChronos LLC; \$0.0005 per share in a NYSE American Auction; \$0.0010 per share execution in an Away Market Auction at venues other than NYSE American; \$0.0035 per share for all other executions, or \$0.0030 if the member

organization has adding ADV in Tapes A, B, and C combined that is at least 0.20% of Tapes A, B and C CADV combined.

- o For securities below \$1.00, [~~\$0.0005 per share~~ 0.08% of total dollar value of the transaction ~~in a ]~~for orders that route to NYSE American [Auction]; \$0.0010 per share execution in an Away Market Auction at venues other than NYSE American; 0.30% of total dollar value of the transaction for all other executions.

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