

Additions underscored
 Deletions [bracketed]

**NYSE American Equities
 Price List**

2019

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Effective Date: [June 21]●, 2019

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Co-Location Fees

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General Notes

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4. When a User purchases access to the LCN or IP network, it receives the ability to access the trading and execution systems of the NYSE, NYSE American, NYSE Arca, NYSE Chicago, Inc. (NYSE Chicago), and NYSE National (together, the Exchange Systems) as well as of Global OTC (the “Global OTC System”), subject, in each case, to authorization by the NYSE, NYSE American, NYSE Arca, NYSE Chicago, NYSE National or Global OTC, as applicable. Such access includes access to the customer gateways that provide for order entry, order receipt (i.e. confirmation that an order has been received), receipt of drop copies and trade reporting (i.e. whether a trade is executed or cancelled), as well as for sending information to shared data services for clearing and settlement. A User can change the access it receives at any time, subject to authorization by NYSE, NYSE American, NYSE Arca, NYSE Chicago, NYSE National or Global OTC. NYSE, NYSE American, NYSE Arca, NYSE Chicago and NYSE National also offer access to Exchange Systems to their members, such that a User does not have to purchase access to the LCN or IP network to obtain access to Exchange Systems. Global OTC offers access to the Global OTC System to its subscribers, such that a User does not have to purchase access to the LCN or IP network to obtain access to the Global OTC System.

5. When a User purchases access to the LCN or IP network it receives connectivity to any of the Included Data Products that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the Included Data Products are charged by the provider of the data feed. A User can change the Included Data Products to which it receives connectivity at any time, subject

to authorization from the provider of the data feed. The Exchange is not the exclusive method to connect to the Included Data Products.

The Included Data Products are as follows:

NMS feeds <u>CTA</u> <u>CQ</u> <u>OPRA</u>
NYSE: NYSE Alerts NYSE BBO NYSE Integrated Feed NYSE OpenBook NYSE Order Imbalances NYSE Trades
NYSE American: NYSE American Alerts NYSE American BBO NYSE American Integrated Feed NYSE American OpenBook NYSE American Order Imbalances NYSE American Trades
NYSE American Options
NYSE Arca: NYSE ArcaBook NYSE Arca BBO NYSE Arca Integrated Feed NYSE Arca Order Imbalances NYSE Arca Trades
NYSE Arca Options
NYSE Best Quote and Trades (BQT)
NYSE Bonds
NYSE Chicago
NYSE National

A User authorized to receive connectivity to one or more NMS feeds may request to connect to the NMS feeds via an alternate network that is dedicated to the NMS feeds (the “NMS network”).

If a User purchases access to the LCN or IP network and requests a connection to the NMS network, that User and its Affiliates, taken together, will not be charged for up to eight corresponding NMS network connections (each, a “No Fee NMS Network Connection”) if such User, together with its Affiliates, purchases access to an LCN or IP network and:

1. designates no more than four No Fee NMS Network Connections as corresponding to the LCN connections of the User, together with its Affiliates, on a one-to-one basis;
2. designates no more than four No Fee NMS Network Connections as corresponding to the IP network connections of the User, together with its Affiliates, on a one-to-one basis;
3. does not use the LCN or IP network connections that correspond to No Fee NMS Network Connections to access the NMS feeds; and
4. each of the No Fee NMS Network Connections is of equal size or smaller than the corresponding LCN and IP network connection purchased by the User or its Affiliates.

In addition, a User may purchase an NMS network connection at the same fee as the same-sized 10 Gb or 40 Gb IP network circuits.

With respect to the No Fee NMS Network Connection:

- A User receiving one or more NMS networks will be required to certify to the Exchange whether any other Users or Hosted Customers are Affiliates of the certifying User. The certifying User will be required to inform the Exchange immediately of any event that causes another User or Hosted Customer to become an Affiliate. The Exchange will review available information regarding the entities and may request additional information to verify the Affiliate status of a User or Hosted Customer. The Exchange will provide No Fee NMS Network Connections to the certifying User, unless it determines that the certification is not accurate.
- A User that has one or more NMS networks may become affiliated with one or more other Users or Hosted Customers such that the User and its Affiliates will exceed the limit of No Cost NMS Network Connections. In such case, for each NMS network connection the User has that exceeds the No Fee NMS Network Connections, the Exchange will charge the User for each NMS network connection at the same rate as the IP Network Access charges for the same size. Such change would be effective as of the date that the User became affiliated with the other Users or Hosted Customers, as applicable.

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NYSE AMERICAN OPTIONS FEE SCHEDULE*

* NYSE American Options is the options trading facility of NYSE American LLC

Effective as of [August 9], 2019

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Section V. Technology & System Access Fees

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B. Co-Location Fees.

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General Notes

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5. When a User purchases access to the LCN or IP network it receives connectivity to any of the Included Data Products that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the Included Data Products are charged by the provider of the data feed. A User can change the Included Data Products to which it receives connectivity at any time, subject to authorization from the provider of the data feed. The Exchange is not the exclusive method to connect to the Included Data Products.

The Included Data Products are as follows:

NMS feeds <u>CTA</u> <u>CQ</u> <u>OPRA</u>
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2. designates no more than four No Fee NMS Network Connections as corresponding to the IP network connections of the User, together with its Affiliates, on a one-to-one basis;
3. does not use the LCN or IP network connections that correspond to No Fee NMS Network Connections to access the NMS feeds; and
4. each of the No Fee NMS Network Connections is of equal size or smaller than the corresponding LCN and IP network connection purchased by the User or its Affiliates.

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