

Additions underlined
 Deletions [bracketed]

NYSE AMERICAN OPTIONS FEE SCHEDULE

Effective as of January [3]12, 2023

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Section VII. Regulatory Fees

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B. Other Regulatory Fees. Other Regulatory Fees are described in the table below.

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CRD Fees For ATP Holders Who Are Not FINRA Members

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|---|---------------|
| Each initial Form U4 filed for the registration of a representative or principal | \$125 |
| Additional processing of each initial or amended Form U4, Form U5 or Form BD that includes the initial reporting, amendment, or certification of one or more disclosure events or proceedings | \$155[10] |
| Processing and posting to the CRD system each set of fingerprints submitted electronically to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints | \$20[15] |
| Processing and posting to the CRD system each set of fingerprint cards submitted in non-electronic format to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints | \$30 |
| Processing and posting to the CRD system each set of fingerprint results and identifying information that have been processed through another self-regulatory organization and submitted to FINRA | \$30 |
| System processing for each registered representative and principal | \$45 annually |

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