

Additions underscored  
 Deletions [bracketed]

## NYSE Arca Equities

### FEES AND CHARGES

**Effective Date: [December 16, 2019]●**

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#### CO-LOCATION FEES

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#### General Notes

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4. When a User purchases a service that includes 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 a service that includes 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

6. When a User purchases a service that includes access to the NMS network, upon its request it will receive connectivity to the NMS network and any of the NMS feeds that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the NMS feeds are charged by the provided of the NMS feed. The NMS network provides connectivity to the NMS feeds only.

<u>NMS feeds</u> <u>CTA</u> <u>CQ</u> <u>OPRA</u>
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Type of Service	Description	Amount of Charge
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<p><u>LCN and NMS Network Access</u></p>	<p>10 Gb LX <u>LCN Circuit</u> and 10 Gb <u>NMS Network Circuit</u></p>	<p>\$15,000 <u>initial charge</u> per connection [initial charge]to both the <u>LCN and NMS Network</u> plus \$22,000 <u>monthly charge</u> per connection to both the <u>LCN and NMS Network</u>.</p> <p><u>For purposes of these charges, the LCN Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>
<p><u>LCN and NMS Network Access</u></p>	<p>40 Gb <u>LCN Circuit</u> and <u>40 Gb NMS Network Circuit</u></p>	<p>\$15,000 <u>initial charge</u> per connection [initial charge]to both the <u>LCN and NMS Network</u> plus \$22,000 <u>monthly charge</u> per connection to both the <u>LCN and NMS Network</u>.</p> <p><u>For purposes of these charges, the LCN Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>

<p>Partial Cabinet Solution bundles</p> <p>Note: A User and its Affiliates are limited to one Partial Cabinet Solution bundle at a time. A User and its Affiliates must have an Aggregate Cabinet Footprint of 2 kW or less to qualify for a Partial Cabinet Solution bundle. See Note 2 under “General Notes.”</p>	<p>No change</p>	<p>No change</p>
	<p>No change</p>	<p>No change</p>
	<p>Option C: 1 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), <u>2 NMS Network connections (10 Gb each)</u>, 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>No change</p>
	<p>Option D: 2 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), <u>2 NMS Network connections (10 Gb each)</u>, 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>No change</p>
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<p><u>IP Network and NMS Network Access</u></p>	<p><u>10 Gb IP Network Circuit and 10 Gb NMS Network Circuit</u></p>	<p><u>\$10,000 initial charge per connection [initial charge]to both the IP Network and NMS Network plus \$11,000 monthly charge per connection to both the IP Network and NMS Network.</u></p> <p><u>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>
<p><u>IP Network and NMS Network Access</u></p>	<p><u>40 Gb IP Network Circuit and 40 Gb NMS Network Circuit</u></p>	<p><u>\$10,000 initial charge per connection [initial charge]to both the IP Network and NMS Network plus \$18,000 monthly charge per connection to both the IP Network and NMS Network.</u></p> <p><u>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>
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## NYSE Arca Options Fees and Charges

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**Effective Date: [December 16, 2019]●**

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NYSE Arca OPTIONS: FLOOR and EQUIPMENT and CO-LOCATION FEES

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### CO-LOCATION FEES

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#### General Notes

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4. When a User purchases a service that includes 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 a service that includes 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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NYSE Arca Options
NYSE Best Quote and Trades (BQT)
NYSE Bonds
NYSE Chicago
NYSE National

6. When a User purchases a service that includes access to the NMS network, upon its request it will receive connectivity to the NMS network and any of the NMS feeds that it selects, subject to any technical provisioning requirements and authorization from the provider of the data feed. Market data fees for the NMS feeds are charged by the provided of the NMS feed. The NMS network provides connectivity to the NMS feeds only.

<u>NMS feeds</u> <u>CTA</u> <u>CQ</u> <u>OPRA</u>
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<p><u>LCN and NMS Network Access</u></p>	<p>40 Gb <u>LCN Circuit</u> and 40 Gb <u>NMS Network Circuit</u></p>	<p>\$15,000 <u>initial charge</u> per connection [initial charge]to <u>both the LCN and NMS Network</u> plus \$22,000 <u>monthly charge</u> per connection to <u>both the LCN and NMS Network</u>.</p> <p><u>For purposes of these charges, the LCN Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>



<p>Partial Cabinet Solution bundles</p> <p>Note: A User and its Affiliates are limited to one Partial Cabinet Solution bundle at a time. A User and its Affiliates must have an Aggregate Cabinet Footprint of 2 kW or less to qualify for a Partial Cabinet Solution bundle. See Note 2 under “General Notes.”</p>	<p>No change</p>	<p>No change</p>
	<p>No change</p>	<p>No change</p>
	<p>Option C: 1 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), <u>2 NMS Network connections (10 Gb each)</u>, 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>No change</p>
	<p>Option D: 2 kW partial cabinet, 1 LCN connection (10 Gb LX), 1 IP network connection (10 Gb), <u>2 NMS Network connections (10 Gb each)</u>, 2 fiber cross connections and either the Network Time Protocol Feed or Precision Timing Protocol</p>	<p>No change</p>
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<p><u>IP Network and NMS Network Access</u></p>	<p><u>10 Gb IP Network Circuit and 10 Gb NMS Network Circuit</u></p>	<p><u>\$10,000 initial charge per connection [initial charge]to both the IP Network and NMS Network plus \$11,000 monthly charge per connection to both the IP Network and NMS Network.</u></p> <p><u>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>
<p><u>IP Network and NMS Network Access</u></p>	<p><u>40 Gb IP Network Circuit and 40 Gb NMS Network Circuit</u></p>	<p><u>\$10,000 initial charge per connection [initial charge]to both the IP Network and NMS Network plus \$18,000 monthly charge per connection to both the IP Network and NMS Network.</u></p> <p><u>For purposes of these charges, the IP Network Circuit and NMS Network Circuit are together considered to be one connection, and so Users are not subject to two initial or two monthly charges.</u></p>
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