

Additions underscored
Deletions [bracketed]

NYSE Arca Options Fees and Charges

Effective Date: May [3]12, 2021

NYSE Arca OPTIONS: TRADE-RELATED CHARGES FOR STANDARD OPTIONS¹⁴

Unless Professional Customer executions are specifically delineated, such executions will be treated as “Customer” executions for fee/credit purposes. Firms, Broker Dealers, and Market Makers are collectively referred to herein as “Non-Customers.”

A “Penny” issue or class refers to option classes that participate in the Penny Interval Program, as described in Rule 6.72A-O; whereas a “non-Penny” issue or class refers to option classes that do not participate in the Penny Interval Program, as described in Rule 6.72A-O.

LIMIT OF FEES ON OPTIONS STRATEGY EXECUTIONS

\$1,000 cap on transaction fees for Strategy Executions involving (a) reversals and conversions, (b) box spreads, (c) short stock interest spreads, (d) merger spreads, and (e) jelly rolls.¹⁰ The cap applies to each Strategy Execution executed in standard option contracts on the same trading day. Any qualifying Strategy Execution executed as a QCC order will not be eligible for this fee cap. All Royalty fees associated with Strategy Executions on Index and Exchange Traded Funds will be passed through to trading participants on the Strategy Executions on a pro-rata basis. These Royalty fees will not be included in the calculation of the \$1,000 cap. Manual Broker Dealer and Firm Proprietary Strategy trades that do not reach the \$1,000 cap will be billed at \$0.25 per contract

The cap is reduced to \$200 on transactions fees for qualifying strategies traded on the same trading day for those OTP Holders that trade at least 25,000 monthly billable contract sides in qualifying Strategy Executions.

<u>FB PROFESSIONAL CUSTOMER MANUAL PROGRAM</u>	<u>A Floor Broker that increases their monthly Professional Customer Manual Transaction ADV by 60% over the greater of (1) their monthly Professional Customer Manual Transaction ADV in the second half of 2020 or (2) 20,000 contracts ADV will receive a \$0.13 per contract credit on all volume in excess of the applicable baseline. Eligible volume for determining baseline, achieving volume over baseline, or application of credit does not include Strategy Executions, QCC Transactions, or Facilitation Transactions. This program expires at the close of business on June 30, 2021.</u>
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