

Additions underlined
Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: [~~September 1~~]October 3, 2022

NYSE ARCA MARKETPLACE: TRADE RELATED FEES AND CREDITS¹

EXCHANGE TRANSACTIONS

ETP HOLDERS AND MARKET MAKERS²

Round Lots and Odd Lots (Per Share Price \$1.00 or Above and Per Share Price Below \$1.00)

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VII. Tier Rates - Round Lots and Odd Lots (Per Share Price \$1.00 or Above):

Adding Tiers					
Tier*	Minimum Requirement		Credit for Adding		
			Tape A	Tape B ^(a)	Tape C
Tier 1	0.70% Adding of CADV, or	84 million shares Adding ADV	(\$0.0031)	(\$0.0023)	(\$0.0032)
Tier 2	0.50% Adding of CADV		(\$0.0030)	(\$0.0023)	(\$0.0031)
Tier 3	0.30% Adding of CADV, or	0.25% Adding CADV, 0.40% Tape B Remove of Tape B CADV, and 0.25% Customer and Professional Customer	(\$0.0029)	(\$0.0022)	(\$0.0029)

		Electronic Posting Volume of TCADV on NYSE Arca Options by OTP Holder or OTP Firm affiliated with the ETP Holder			
Tier 4	0.20% Adding of CADV		(\$0.0025)**	(\$0.0022)	(\$0.0025)**
<p>* ETP Holders that qualify for Tier 1, Tier 2, Tier 3 or Tier 4 and also have combined Adding and Removing of 1.0% of CADV receive a minimum of (\$0.0030) for Adding in Tape A, Tape B and Tape C</p> <p>** ETP Holders that qualify for Tier 4 and add 0.05% of CADV above May 2019 receive an incremental credit of (\$0.0002) for Tape A and C Adding</p>					
ETP Holders that qualify for Tier 1, Tier 2, Tier 3 or Tier 4 are subject to the following fees:					
Routing			\$0.0030		
Removing Liquidity in Tape B			\$0.0029		
Closing Orders			\$0.0010		
[*ETP Holders that qualify for Tier 4 and add 0.05% of CADV above May 2019 receive an incremental credit of (\$0.0002) for Tape A and C Adding]					

- (a) An additional credit in Tape B shall apply to ETP Holders affiliated with LMMs that add displayed liquidity based on the number of Less Active ETP Securities in which the LMM is registered as the LMM. The applicable tiered-credits are noted below (See LMM Transaction Fees and Credits).

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Cross-Asset Tier					
Minimum Requirement			Credit for Adding		
Equity Volume Adding ADV of CADV	Option Customer and Professional Customer Electronic Posting Volume of TCADV by OTP Holder or OTP Firm affiliated with the ETP Holder				
	All Issues	[Non-Penny Issues]	Tape A	Tape B	Tape C
0.30% [Adding of CADV]	0.80% of TCADV	[0.20% of TCADV]	(\$0.0030)	(\$0.0030)	(\$0.0030)
0.50% [0.30% Adding of CADV and 0.35% Adding of Tape C CADV]	0.80% of TCADV	[0.20% of TCADV]	n/a	n/a	Additional (\$0.0004)
0.65% [Adding of CADV]	0.80% of TCADV	[0.20% of TCADV]	Additional (\$0.0002)	Additional (\$0.0002)	n/a
0.75% [0.30% Adding of CADV and 0.40% Adding and Removing of CADV above Q1 2020 Add and Remove]	0.80% of TCADV	[0.20% of TCADV]	Additional (\$0.0001) for Adding, All Tapes		

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