

Additions underscored

Deletions [bracketed]

### NYSE Arca Options Fees and Charges

**Effective Date: November [15]21, 2024**

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#### **NYSE Arca OPTIONS: TRADE-RELATED CHARGES FOR STANDARD OPTIONS<sup>14</sup>**

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.”

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#### **MARKET MAKER PENNY AND SPY POSTING CREDIT TIERS**

OTP Holders and OTP Firms meeting the qualifications below will receive the corresponding credit on electronic executions of Market Maker posted interest in Penny Issues and SPY.<sup>8,15</sup>

<b>Tier</b>	<b>Qualification Basis (Share of TCADV)</b>			<b>Credit Applied to Electronic Executions of Market Maker Posted Interest in Penny Issues (except SPY)</b>	<b>Credit Applied to Electronic Executions of Market Maker Posted Interest in SPY</b>
Base				(\$0.28)	(\$0.28)
Select Tier	At least 0.25% of TCADV from Market Maker posted interest in all issues			(\$0.32)	(\$0.32)
Super Tier[*]	At least 0.55% of TCADV from Market Maker posted interest in all issues, or		At least 1.60% of TCADV from all interest in all issues, all account types, with at least 0.15%	(\$0.37)	(\$0.39)

Tier	Qualification Basis (Share of TCADV)			Credit Applied to Electronic Executions of Market Maker Posted Interest in Penny Issues (except SPY)	Credit Applied to Electronic Executions of Market Maker Posted Interest in SPY
			TCADV from Market Maker posted interest in all issues		
Super Tier II[*]	At least 0.15% of TCADV from Market Maker posted interest in all issues, plus ETP Holder and Market Maker posted volume in Tape B Securities (“Tape B Adding ADV”) that is equal to at least 1.40% of US Tape B consolidated average daily volume (“CADV”) for the billing month executed on NYSE Arca Equity Market; or		At least 1.60% of TCADV from Market Maker interest in all issues, with at least 0.90% of TCADV from Market Maker posted interest in all issues	(\$0.42)	(\$0.42)

Tier	Qualification Basis (Share of TCADV)	Credit Applied to Electronic Executions of Market Maker Posted Interest in Penny Issues (except SPY)	Credit Applied to Electronic Executions of Market Maker Posted Interest in SPY
<u>Super Select Tier</u>	At least 0.25% of total combined IWM, QQQ, and SPY industry ADV from Market Maker posted interest in IWM, QQQ, and SPY; plus ETP Holder and Market Maker posted volume in Tape B Adding ADV that is equal to at least 1.55% of US Tape B CADV executed on NYSE Arca Equity Market	(\$0.40)	(\$0.40)
<u>Super Select Tier II</u>	At least 0.35% of total combined IWM, QQQ, and SPY industry ADV from Market Maker posted interest in IWM, QQQ, and SPY; plus ETP Holder and Market Maker posted volume in Tape B Adding ADV that is equal to at least 1.65% of US Tape B CADV executed on NYSE Arca Equity Market	(\$0.41)	(\$0.41)
[* An additional (\$0.03) credit per contract will be applied to electronic executions of Market Maker posted interest in Penny Issues provided an OTP Holder or OTP Firm <sup>8,15</sup> achieves (i) at least 0.55% of total combined IWM, QQQ, and SPY industry ADV from Market Maker posted interest in IWM, QQQ, and SPY, and (ii) ETP Holder and Market Maker posted			

Tier	Qualification Basis (Share of TCADV)	Credit Applied to Electronic Executions of Market Maker Posted Interest in Penny Issues (except SPY)	Credit Applied to Electronic Executions of Market Maker Posted Interest in SPY
	volume in Tape B Adding ADV that is equal to at least 1.50% of US Tape B CADV executed on NYSE Arca Equity Market for the billing month. This credit will not apply to executions of issues in an LMM's appointment.]		

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#### NYSE Arca OPTIONS: GENERAL

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8. The calculations for qualifications for monthly posting credits or discounts only include electronic executions and the Exchange will include the activity of either (i) affiliates or (ii) an Appointed OFP or Appointed MM, per Endnote 15. Unless Professional Customer executions are specifically delineated, such executions will be treated as “Customer” executions in calculating qualifications for monthly posting credits or discounts. Customer equity and ETF option ADV does not include Electronic Complex Order Executions. The Exchange may exclude from the calculation of ADV contracts traded any day (1) the Exchange is not open for the entire trading day and/or (2) there is an Exchange System Disruption. QCC orders are neither posted nor taken; thus QCC transactions are not included in the calculation of posted or taken execution volumes. Orders routed to another market for execution are not included in the calculation of taking volume. Market Maker Total Electronic Volume does not include Electronic Complex Order Executions, QCC Transactions, or orders routed to another exchange for execution. Total Industry Customer equity and ETF option average daily volume (“TCADV”) includes OCC calculated Customer volume of all types, including Complex Order Transactions and QCC transactions, in equity and ETF options. An affiliate of an OTP Holder or OTP Firm is as defined in NYSE Arca Rule 1.1(a). For purposes of calculating the executed Average Daily Volume (“ADV”) of Retail Orders of U.S. Equity Market Share on the NYSE Arca Equity Market, a Retail Order must qualify for the Retail Order Tier set forth in the NYSE Arca Equities Fee Schedule.

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15. Includes transaction volume from the OTP Holder's or OTP Firm's affiliates or its Appointed OFP or Appointed MM. An “Appointed MM” is an NYSE Arca Market Maker that has been designated by an Order Flow Provider (“OFP”) (as defined in NYSE Arca Rule 6.1A-O(a)(21)). An “Appointed OFP” is an OFP that has been designated by an NYSE Arca Market Maker. An NYSE Arca Options Market Maker appoints an OFP and an OFP appoints an NYSE

Arca Options Market Maker for the purposes of the Fee Schedule, by each sending an email to [optionsbilling@nyse.com](mailto:optionsbilling@nyse.com). These corresponding emails will be viewed as acceptance of the appointment. The Exchange will recognize one such designation for each party. A party may make a designation not more than once every 12-months, which designation shall remain in effect unless or until the Exchange receives an email from either party indicating that the appointment has been terminated.

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