

Additions underscored

Deletions [bracketed]

### NYSE AMEX OPTIONS FEE SCHEDULE \*

\*NYSE Amex Options is the options trading facility of NYSE MKT LLC

Effective as of March [1]9, 2017

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#### Section I. Options Transaction Fees and Credits

**A. Rates for Standard Options transactions.**<sup>5</sup> The following transaction fees apply to executions in Standard Option contracts.

Participant	Penny/Non-Penny	Rate Per Contract For Electronic Transactions	Marketing Charges Per Contract for Electronic Transactions <sup>3</sup>	Rate Per Contract Manual Transactions
Broker-Dealer <sup>1,6</sup>	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Customer	Penny	\$0.00	N/A	\$0.00
	Non-Penny	\$0.00	N/A	\$0.00
DOMM <sup>1,2,3,6</sup>	Penny	\$0.25	\$0.25	N/A
	Non-Penny	\$0.25	\$0.70	N/A
e-Specialist <sup>1,2,3,6</sup>	Penny	\$0.25	\$0.25	\$0.13
	Non-Penny	\$0.25	\$0.70	\$0.13
Firm <sup>1,4,6</sup>	Penny	\$0.42	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Firm Facilitation <sup>1</sup>	Penny	N/A	N/A	\$0.00
	Non-Penny	N/A	N/A	\$0.00
NYSE Amex Options Market Maker <sup>1,2,3,6</sup>	Penny	\$0.25	\$0.25	\$0.20

	Non-Penny	\$0.25	\$0.70	\$0.20
Non-NYSE Amex Options Market Maker <sup>1,2,6</sup>	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Professional Customer <sup>1,6</sup>	Penny	\$0.50	N/A	\$0.25
	Non-Penny	\$0.75	N/A	\$0.25
Specialist <sup>1,2,3,6</sup>	Penny	\$0.25	\$0.25	\$0.13
	Non-Penny	\$0.25	\$0.70	\$0.13

1. Royalty Fees described in Section I.K., may also apply.
2. NYSE Amex Options Market Makers may qualify for lower rates for Electronic transactions pursuant to the Market Maker Sliding Scale in section I. C.
3. NYSE Amex Options Market Makers who are counterparties to an Electronic trade with a Customer are liable for Marketing Charges. The pool of monies resulting from the collection of Marketing Charges on Electronic non-Directed Orders will be controlled by the Specialist or the e-Specialist with superior volume performance over the previous quarter, unless otherwise designated by the ATP Holder that submits an Electronic non-Directed Order as described below, for distribution by the Exchange at the direction of such Specialist or e-Specialist to eligible payment accepting firms. An ATP Holder that submits an Electronic non-Directed Order to the Exchange may designate an NYSE Amex Options Market Maker to control to pool of monies resulting from the collection of Marketing Charges, which shall be distributed by the Exchange at the direction of such NYSE Amex Options Market Maker to payment accepting firms. The pool of monies resulting from collection of Marketing Charges on Electronic Directed Orders will be controlled by the NYSE Amex Options Market Maker to which the order was directed and distributed by the Exchange at the direction of such NYSE Amex Options Market Maker to payment accepting firms.
4. Firms are subject to a Monthly Firm Fee Cap of \$100,000 for fees associated with Manual transactions as more fully described below in Section I. I.
5. Binary Return Derivatives (“ByRDs”) transactions. ByRDs are exempt from all transaction fees and credits. Any volume in ByRDs will be included in the calculations to qualify for any volume-based incentives currently being offered on the Exchange.
6. A \$0.05 surcharge will be applied to any Electronic Non-Customer Complex Order that executes against a Customer Complex Order, regardless of whether the execution occurs in a Complex Order Auction (“COA”). The surcharge will not apply to executions in a CUBE Auctions.

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**E. Amex Customer Engagement (“ACE”) Program – Standard Options.** The per contract credits in the table below apply to Electronic transactions in Standard Options. The credits are payable to the OFP that submits, as agent, orders to the Exchange, and is payable only on Customer volume.

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ACE Program – Standard Options		Credits Payable On Customer Volume Only				
Tier	Customer Electronic ADV as a % of Industry Customer Equity and ETF Options ADV	OR	Total Electronic ADV (of which 20% or greater of the minimum qualifying volume for each Tier must be Customer) as a % of Industry Customer Equity and ETF Options ADV	Customer Volume Credits	1 Year /Balance of the Year Enhanced Customer Volume Credits	3 Year Enhanced Customer Volume Credits
Base	0.00% to 0.75%		N/A	\$0.00	\$0.00	\$0.00
1	≥ 0.20% over October 2015 volumes		N/A	(\$0.14)	(\$0.14)	(\$0.14)
2	> 0.75% to 1.00% or ≥ 0.35% over October 2015 volumes <sup>1</sup>		N/A	(\$0.18)	(\$0.18)	(\$0.18)
3	>1.00% to 1.25%		1.50% to 2.50% of which 20% or greater of 1.50% must be Customer	(\$0.19)	(\$0.20)	(\$0.21)
4	> 1.25 to 1.75% <sup>2</sup>		> 2.50% to 3.50% of which 20% or greater of 2.50% must be Customer <sup>2</sup>	(\$0.20)	(\$0.21)	(\$0.22)

5	>1.75% <sup>2</sup>		>3.50% of which 20% or greater of 3.5% must be Customer <sup>2</sup>	(\$0.22)	(\$0.23)	(\$0.24)
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- <sup>1</sup>. An OFP that achieves Tier 2 will receive a \$0.19 credit on [e]Electronic Customer Complex Orders.
- <sup>2</sup>. An OFP that achieves Tier 4 or Tier 5, and executes more than 0.50% of Industry Customer Equity and ETF Options ADV in Initiating CUBE Orders in a calendar month, will receive a credit of \$0.25 per contract, per leg on Electronic Customer Complex Order transactions. The credit will be provided regardless of whether the Complex Order trades against interest in the Complex Order Book or with individual orders and quotes in the Consolidated Book.

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