

Additions underlined  
 Deletions [bracketed]

**New York Stock Exchange  
 Price List 2021**

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**Last Updated: February 1, 2021**

**Transaction Fees\***

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Executions at the Close Equity Per Share Charge – per transaction (both sides) –

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<p>Step Up Tier 4 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Displayed Limit Orders, that (i) has an Adding ADV that is at least 0.20% of NYSE CADV, and (ii) has an Adding ADV, excluding any liquidity added by a DMM, that is at least 0.05% of NYSE CADV over that Member Organization’s November 2020 adding liquidity taken as a percentage of NYSE CADV.</p> <p>Member organizations that meet the above requirements and add liquidity, excluding liquidity added as an Supplemental Liquidity Provider, in Tapes B and C Securities of at least 0.20% of Tape B and Tape C CADV combined will receive an additional \$0.0001 per share.</p>	<p>\$0.0015</p>
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<p><u>Step Up Tier 5 Adding Credit – Incremental Equity per Share Credit – per transaction – for all orders that add liquidity to the NYSE, other than MPL and Non-Displayed Limit Orders, from a qualifying member organization’s MPID or mnemonic, if the member organization has Adding ADV, excluding any liquidity added by a DMM, that is at least 1.00% of Tape A CADV, and if the MPID or mnemonic has an Adding ADV as a percentage of Tape A CADV, excluding any liquidity added by a DMM, that is:</u></p> <ul style="list-style-type: none"> <li>(i) <u>at least two times more than that MPID’s or mnemonic’s Adding ADV in January 2021 as a percentage of Tape A CADV, and</u></li> <li>(ii) <u>at least 0.10% of Tape A CADV over that MPID’s or mnemonic’s Adding ADV in in January 2021 as a percentage of Tape A CADV.</u></li> </ul>	<p><u>\$0.0001 incremental credit if an increase of at least 0.10% and less than 0.175% of Tape A CADV</u></p> <p><u>\$0.0002 incremental credit if an increase of at least 0.175% of Tape A CADV</u></p>
<p>Equity per Share Credit – per transaction – for all transactions of orders, other than MPL and Non-Display Reserve orders, designated as “retail” (i.e., orders that satisfy the Retail Modifier requirements of Rule 13) that add liquidity to the NYSE</p>	<p>\$0.0030</p>

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**Credit Applicable to Supplemental Liquidity Providers (“SLPs”)**

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<p>Incremental Credit per Share – per transaction – for affiliated SLPs<sup>+</sup> – in addition to the tiered or non-tiered SLP credit for adding displayed liquidity, when adding liquidity to the NYSE with orders, other than MPL orders or Retail orders, in securities with a per share price of \$1.00 or more, if an SLP (i) meets the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B (quotes of an SLP-Prop and an SLMM of the same member organization shall not be</p>	<p>\$0.0001, \$0.0002, or \$0.0003 credit based on SLP’s adding liquidity</p>
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aggregated), and (ii) adds liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) in the billing month over the SLP's adding liquidity for all assigned SLP securities in the aggregate (including shares of both an SLP-Prop and an SLMM of the same or an affiliated member organization) as a percent of NYSE CADV\*\* [either ]in the second quarter of 2018, [or ]the third quarter of 2018, or the month of January 2021, whichever is [lower]lowest, ("Incremental SLP Step Up Tier") as follows:

- an ADV<sup>4</sup> of more than 0.10% of NYSE CADV\*\*:  
\$0.0001 credit
- an ADV<sup>4</sup> of more than 0.15% of NYSE CADV\*\*:  
\$0.0002 credit
- an ADV<sup>4</sup> of more than 0.25% of NYSE CADV\*\*:  
\$0.0003 credit

SLPs can only qualify for one of the above credits in a billing month.

Combined SLP credits shall not exceed \$0.0032 per share in a billing month.

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