

Additions underlined
Deletions [bracketed]

**New York Stock Exchange
Price List 2022**

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Last Updated: [~~December 1~~December 12, 2022

Transaction Fees*

Regular Session Trading¹

Transactions in stocks with a per share stock price of \$1.00 or more

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

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<p>Tier 2 Adding Credit – Equity per Share Credit – per transaction – for all orders, other than MPL and Non-Display Reserve orders that add liquidity to the NYSE if the Member Organization (i) has Adding ADV that is at least 0.75% of NYSE CADV, and (ii) executes MOC and LOC orders of at least 0.10% of NYSE CADV [or executes an ADV during the billing month of at least one million shares in Retail Price Improvements Orders.]</p>	<p>\$0.0020</p>
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Step Up Tier 3 Adding Credit – Incremental Equity per Share Credit – per transaction – for all orders from a qualifying member organization market participant identifier ("MPID") or mnemonic that sets the NBBO or a new BBO if the MPID or mnemonic:

(i) has Adding ADV in Tapes A, B and C Securities as a percentage of Tapes A, B and C CADV, excluding any liquidity added by a DMM, that is at least 50% more than the MPID's or mnemonic's Adding ADV in Tapes A, B and C securities in June 2020 as a percentage of Tapes A, B and C CADV, and

(ii) is affiliated with an Supplemental Liquidity Provider that has an Adding ADV in Tape A securities at least 0.10% of NYSE CADV, and

(iii) has Adding ADV in Tape A securities as a percentage of NYSE CADV, excluding any liquidity added by a DMM, that is at least 0.20%.

The incremental credit does not count toward the combined limit on SLP credits of \$0.0032 per share provided for in the SLP Adding Tiers[Incremental Credit per Share for affiliated SLPs whereby SLPs can qualify for incremental credits of \$0.0001, \$0.0002 or \$0.0003].

For MPIDs or mnemonics of qualifying member organizations that are SLPs in a month where Tape A, Tape B and Tape C CADV combined equals or exceeds 13.0 billion shares per day for the billing month, CADV for that month will be subject to a cap of 13.0 billion shares per day for the billing month, and in a month where NYSE CADV equals or exceeds 5.5 billion shares per day for the billing month, NYSE CADV for that month will

\$0.0006 incremental credit in Tapes A, B and C securities

<p>be subject to a cap of 5.5 billion shares per day for the billing month.</p>	
<p>[Member Organizations meeting the above Step Up Adding Tier 3 Adding Credit requirements and that also have (i) an Adding ADV that is at least 0.45% of Tapes A, B and C CADV, and (ii) Adding ADV setting the NBBO that is at least 0.18% of Tapes A, B and C CADV, will qualify for the following credits instead of the existing credit combined with the incremental credit:</p> <ul style="list-style-type: none"> • \$0.0036 for adding orders that set the NBBO; or • \$0.0031 for all other displayed adding orders in Tape A, B and C Securities.] 	
<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>\$0.0015</p>

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Credit Applicable to Supplemental Liquidity Providers (“SLPs”)

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SLP Adding Tiers

For SLP symbols that meet the 10% average quoting requirement in an assigned security pursuant to Rule 107B, other than MPL Orders, in securities with a per share price of \$1.00 or more:

	Minimum Requirements			
Tier for Adding Liquidity	SLP Adding ADV % Tape A CADV	<u>SLP Adding ADV % Tape A CADV If DMM*</u>	Tiered Display Credit	Tiered Non Display Credit

[SLP Step Up]	[0.085% over April 2018 Baseline]			[\$(0.0018)]	[\$(0.0001)]
SLP Tier 7[5]	First 2 calendar months as an SLP [OR]	[0.03% and averaging less than 0.01% in each of the prior 3 months]	<u>No requirement in first 2 calendar months if DMM</u>	\$(0.0029)	\$(0.00105)
SLP Tier 6[4]	0.20%		<u>0.08%</u>	\$(0.0023)	\$(0.0006)
<u>SLP Tier 5</u>	<u>0.25%</u>		<u>0.18%</u>	<u>\$(0.0026)</u>	<u>\$(0.0006)</u>
SLP Tier 4[3]	0.45%		<u>0.24%</u>	\$(0.0029[26])	\$(0.0009)
SLP Tier 3[2]	0.60%		<u>0.36%</u>	\$(0.00305[275])	\$(0.00105)
SLP Tier 2[1]	0.90%	0.75% if qualifying for SLP Cross Tape Incentive Tier 1	<u>0.45%</u>	\$(0.0031[29])	\$(0.0012)
<u>SLP Tier 1</u>	<u>1.00%</u>	<u>0.80% if qualifying for SLP Cross Tape Incentive Tier 1</u>	<u>0.55%</u>	<u>\$(0.0032)</u>	<u>\$(0.0012)</u>

[●]*-For SLPs that are also DMMs [and]subject to Rule 107B(i)(2)(A) and that are registered as a DMM in at least 500 Tape A issues[, the above SLP Tier 1, Tier 1A, Tier 2, Tier 3, Tier 4, Tier 5 and Step Up Tier requirements are after a discount of the percentage for the prior quarter of NYSE CADV in DMM assigned securities as of the last business day of the prior month.]

- Combined SLP credits, including additional credits above, shall not exceed \$0.0032 per share in a billing month.
- SLPs that meet the requirements of one of the above tiers [(Tiers 1A, 2, 3, 4 and the SLP Step Up Tier)] and add liquidity in Tapes B and C securities of at least 0.25% of Tape B and Tape C CADV combined, will receive an additional credit as follows: if meeting SLP Tiers 3, 4, 5, 6, or 7: \$0.0001; if meeting SLP Tiers 1 or 2: \$0.00005[of \$0.0001 if at SLP Step Up Tier, SLP Tier 3, SLP Tier 2, SLP Tier 1A OR \$0.00005 if at SLP Tier 1, SLP Tier 4 and SLP Tier 5]. These additional credits of \$0.0001 or \$0.00005, along with

the credit for the SLP Tape A Tier in Tape B and C Securities in the “Transaction Fees and Credits for Tape B and C Securities” section below, are subject to the combined limit of \$0.0032 per share above.

- In SLP Tier 1, Tier 2 and Tier 7[5], SLPs will receive an additional \$0.00005 per share for adding liquidity, other than MPL and Non-Display Reserve orders, in securities where they are not assigned as an SLP or do not meet the 10% average or more quoting requirement in an assigned security pursuant to Rule 107B.

[Tier]	[SLP Adding ADV % Tape A CADV Step Up over Baseline]	[Tiered Display Incremental Credit*]
[SLP Incremental Tier 3]	[0.100%]	[\$(0.00010)]
[SLP Incremental Tier 2]	[0.150%]	[\$(0.00020)]
[SLP Incremental Tier 1]	[0.250%]	[\$(0.00030)]

[* Combined SLP credits shall not exceed \$0.0032 per share in a billing month. Baseline for SLP Incremental Step Up Tiers is the second quarter of 2018, third quarter of 2018, or the month of January 2021, whichever is lowest.]

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