

Additions underscored

Deletions [bracketed]

### NYSE AMERICAN OPTIONS FEE SCHEDULE\*

\*NYSE American Options is the options trading facility of NYSE American LLC

Effective as of August 3, 2020

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### Section I. Options Transaction Fees and Credits<sup>7</sup>

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**G. CUBE Auction Fees & Credits.** The following tables describe the per contract fees and credits for executions associated with CUBE Auctions.

<b>Single-Leg CUBE Auction</b>	
<b>Participant/Penny or Non-Penny</b>	<b>Per Contract Fee or Credit</b>
CUBE Order Fee Customer – All issues	\$0.00
CUBE Order Fee Non-Customer – All issues	\$0.20
Contra Order Fee – All issues	\$0.05
RFR Response Fee Customer – All issues	\$0.00
RFR Response Fee Non-Customer – Penny	\$0.50
RFR Response Fee Non-Customer – Non-Penny	\$1.05
Initiating Participant Credit - Penny	(\$0.30) <sup>1</sup>
Initiating Participant Credit - Non-Penny	(\$0.70) <sup>1</sup>

ACE Initiating Participant Rebate – All issues	(\$0.12) <sup>2</sup>
Alternative Initiating Participant Rebate – All issues	(\$0.10) <sup>2</sup>

<sup>1</sup> Initiating Participant Credits are payable to the Initiating Participant for each contract in a Contra Order paired with a CUBE Order that does not trade with the CUBE Order because it is replaced in the auction.

<sup>2</sup> Both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate (collectively, the “Rebate” as used here) are applied to each of the first 5,000 Customer contracts of a CUBE Order executed in a CUBE Auction. This Rebate is in addition to any additional credits set forth above. Only ATP Holders who qualify for Tiers 1, 2, 3, 4 or 5 of the ACE Program are eligible to receive the ACE Initiating Participant Rebate. ATP Holders that execute a minimum of [10,000]5,000 contracts ADV in the Professional range, as defined in Section I.H., and also increase their Initiating CUBE Orders by the greater of [20%]40% over their August 2019 volume or [10,000]15,000 contracts ADV are eligible to receive the Alternative Initiating Participant Rebate. An ATP Holder that qualifies for both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate would be entitled only to the greater of the two rebates.

<b>Complex CUBE Auction</b>	
<b>Participant/Penny or Non-Penny</b>	<b>Per Contract Fee or Credit</b>
Complex CUBE Order Fee Customer – All issues	\$0.00
Complex CUBE Order Fee Non-Customer – All issues	\$0.20
Complex Contra Order Fee – Penny	\$0.05
Complex Contra Order Fee – Non-Penny	\$0.07
RFR Response Fee Customer – All issues	\$0.00
RFR Response Fee Non-Customer – Penny	\$0.50
RFR Response Fee Non-Customer – Non-Penny	\$1.05
Initiating Participant Credit – Penny	See table below <sup>1</sup>
Initiating Participant Credit – Non-Penny	See table

	below <sup>1</sup>
ACE Initiating Participant Rebate – All issues	(\$0.10) <sup>2</sup>
Alternative Initiating Participant Rebate – All issues	(\$0.10) <sup>2</sup>

<sup>1</sup> Initiating Participant Credits are payable to the Initiating Participant for each contract in a Complex Contra Order paired with a Complex CUBE Order that does not trade with the Complex CUBE Order because it is replaced in the auction. ATP Holders who qualify for ACE Tiers 2, 3, 4, or 5 are eligible to receive enhanced Initiating Participant Credits, based on Tier, as set forth below. ATP Holders who qualify for ACE Tier 5, and execute more than 1% TCADV in monthly Initiating Complex CUBE Orders are eligible to receive an alternative enhanced Initiating Participant Credits of (\$0.45) per contract for Penny issues and (\$0.90) per contract for Non-Penny issues.

<sup>2</sup> Both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate (collectively, the “Rebate” as used here) are applied to each of the first 1,000 contracts per leg of a Complex CUBE Order executed in a Complex CUBE Auction. This Rebate is in addition to any additional credits set forth above. Only ATP Holders who qualify for Tiers 1, 2, 3, 4 or 5 of the ACE Program are eligible to receive the additional ACE Initiating Participant Rebate. ATP Holders that execute a minimum of [10,000]5,000 contracts ADV in the Professional range, as defined in Section I.H., and also increase their Initiating CUBE Orders in Single-Leg CUBE Auctions by the greater of [20%]40% over their August 2019 volume or [10,000]15,000 contracts ADV are eligible to receive the Alternative Initiating Participant Rebate. An ATP Holder that qualifies for both the ACE Initiating Participant Rebate and the Alternative Initiating Participant Rebate would be entitled only to the greater of the two rebates.

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