

Additions underscored  
 Deletions [bracketed]

**NYSE Amex Price List 2010**

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**Equity Transaction Fees and Credits For Listed Securities<sup>1</sup>**

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**Equity Transaction Fees and Credits For Nasdaq Securities Traded Pursuant to Unlisted Trading Privileges<sup>6</sup>**

**Fees and Credits applicable to Market Participants for Transactions in Nasdaq Securities<sup>7</sup>**

	<u>Share Price \$1.00 or more</u>	<u>Share Price below \$1.00</u>
<u>Equity per Share Credit - per transaction - when adding liquidity, including displayed and non-displayed orders</u>	<u>\$0.0019</u>	<u>No Charge</u>
		<u>0.10% of total dollar value of the transaction (Floor brokers only)</u>
<u>Agency cross trades (i.e., a trade where a Member Organization has customer orders to buy and sell an equivalent amount of the same security).....</u>	<u>No Charge</u>	<u>No Charge</u>
<u>Non-electronic agency transactions between floor brokers in the crowd.....</u>	<u>No Charge</u>	<u>No Charge</u>

<sup>1</sup> Does not apply to transactions by members acting as a Designated Market Maker for own account.

<sup>6</sup> The fees for odd-lot transactions in Nasdaq Securities are \$0.0021 per share for stocks priced above \$1.00, and 0.20% of the total dollar value of the transaction for stocks priced below \$1.00. DMMs receive a credit for adding liquidity in odd-lots, including the odd-lot portions of partial round-lots, which is \$0.0011 per share, regardless of price.

<sup>7</sup> Does not apply to transactions by a Designated Market Maker or Supplemental Liquidity Provider for its own account (see separate fee schedule herein).

<u>Equity per Share Charge<sup>8</sup> – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....</u>	<u>\$0.0005</u>	<u>0.20% of total dollar value of the transaction</u>
<u>Equity per Share Charge<sup>8</sup> for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction.....</u>	<u>\$0.0021</u>	<u>0.20% of total dollar value of the transaction</u>
<u>Routing Fee – per share<sup>9</sup>.....</u>	<u>\$0.0029</u>	<u>0.29% of total dollar value of the transaction</u>

**Fees and Credits applicable to Designated Market Makers (DMMs) for Transactions in Nasdaq Securities**

	<b><u>Share Price \$1.00 or more</u></b>	<b><u>Share Price below \$1.00</u></b>
<u>Equity per Share Credit<sup>10</sup> - per transaction - when adding liquidity.....</u>	<u>\$0.0021</u>	<u>0.20% of total dollar value of the transaction</u>
<u>Equity per Share Charge<sup>8</sup> for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction.....</u>	<u>\$0.0021</u>	<u>0.20% of total dollar value of the transaction</u>
<u>Routing Fee – per share<sup>9</sup>.....</u>	<u>\$0.0029</u>	<u>0.29% of total dollar value of the transaction</u>

<sup>8</sup> Includes shares, rights, warrants and closed end funds.

<sup>9</sup> Applies to all orders routed from NYSE Amex and executed in another market. Routing Fees are in lieu of NYSE Amex transaction charges.

<sup>10</sup> Rebates will be applied when (i) posting displayed and non-displayed orders on Display Book, including s-quote and s-quote reserve orders; (ii) when providing liquidity on non-displayed interest using the Capital Commitment Schedule; and (iii) when executing trades in the crowd.

**Fees and Credits applicable to Supplemental Liquidity Providers (SLPs)  
for Transactions in Nasdaq Securities**

	<u>Share Price \$1.00 or more</u>	<u>Share Price below \$1.00</u>
<u>Equity per Share Credit - per transaction - when adding liquidity, if SLP meets quoting requirement pursuant to Rule 107B.....</u>	<u>\$0.0021</u>	<u>No Charge</u>
<u>Equity per Share Credit - per transaction - when adding liquidity, if SLP does not meet quoting requirement pursuant to Rule 107B.....</u>	<u>\$0.0019</u>	<u>No Charge</u>
<u>Equity per Share Charge<sup>8</sup> for all other transactions (i.e., when taking liquidity from the Exchange) - per transaction.....</u>	<u>\$0.0021</u>	<u>0.20% of total dollar value of the transaction</u>
<u>Routing Fee – per share<sup>9</sup>.....</u>	<u>\$0.0029</u>	<u>0.29% of total dollar value of the transaction</u>

**Crossing Sessions for both NYSE Amex Equities listed and traded securities**

NYSE Crossing Session I (Single Stocks) [and II (Portfolios)]	No Charge
<u>NYSE Crossing Session II (Portfolios) - Equity per Share Charge – per transaction (charged to both sides) – subject to a \$50,000 cap per month per member organization for (i) NYSE Amex Equities listed securities, and separately (ii) NYSE Amex traded securities.....</u>	<u>\$0.0001</u>

**NYSE BONDS<sup>SM</sup> SYSTEM**

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