

Additions underscored  
Deletions [bracketed]

### NYSE Arca Options Fees and Charges

**Effective Date:** [~~June 4~~]July 1, 2021

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#### NYSE Arca OPTIONS: TRADE-RELATED CHARGES FOR STANDARD OPTIONS<sup>14</sup>

Unless Professional Customer executions are specifically delineated, such executions will be treated as “Customer” executions for fee/credit purposes. Firms, Broker Dealers, and Market Makers are collectively referred to herein as “Non-Customers.”

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#### CUSTOMER POSTING CREDIT TIERS IN NON-PENNY ISSUES

OTP Holders and OTP Firms meeting the qualifications below will receive the corresponding credit on all electronic executions of Customer posted interest in Non-Penny issues.<sup>8,15,16</sup>

	<b>Customer Posting Credit Tiers In Non-Penny Issues</b>		<b>Credit Applied to Electronic Executions of Customer Posted Interest in Non-Penny Issues</b>
	<b>Qualification Basis (Average Electronic Executions Per Day)</b>		
Base			(\$0.75)
Tier A	At least 0.80% of TCADV from Customer posted interest in all issues, or	At least 0.15% of TCADV of Firm and Broker Dealer posted interest in all issues and at least 0.10% TCADV from Customer posted interest in all issues.	(\$0.85)
Tier B	At least 0.80% of TCADV from Customer posted interest in all issues, of which at least 0.10% of TCADV is from Customer posted interest in non-Penny Issues		(\$0.95)

	<b>Customer Posting Credit Tiers In Non-Penny Issues</b>		<b>Credit Applied to Electronic Executions of Customer Posted Interest in Non-Penny Issues</b>
	<b>Qualification Basis (Average Electronic Executions Per Day)</b>		
Tier C	At least 0.30% of TCADV from Customer posted interest in all issues, not including Professional Customer interest, plus executed ADV of 0.60% of U.S. Equity Market Share Posted and Executed on NYSE Arca Equity Market		(\$0.97)
Tier D	At least 0.75% of TCADV from Customer posted interest in all issues, plus an ADV from Market Maker Total Electronic Volume equal to 0.60% of TCADV		(\$1.00)
Tier E	At least 1.50% of TCADV from Customer posted interest in all issues		(\$1.01)
Tier F	At least 1.00% of TCADV from Customer posted interest in all issues, plus executed ADV of 0.30% of U.S. Equity Market Share Posted and Executed on NYSE Arca Equity Market, <u>or</u>	<u>At least 2.00% of TCADV from Customer posted interest in all issues, AND at least 2.00% of TCADV from Professional Customer and Non-Customer Liquidity Removing interest in all issues</u>	(\$1.02)

**DISCOUNT IN TAKE LIQUIDITY FEES FOR PROFESSIONAL CUSTOMER AND NON-CUSTOMER LIQUIDITY REMOVING INTEREST<sup>8,15</sup>**

<b>Take Fee Discount Qualification for Penny Issues</b>	<b>Discount Amount</b>
At least 1.00% TCADV from Customer posted interest in all issues OR at least 2.00% of TCADV from Professional Customer and Non-Customer Liquidity Removing interest in all issues	\$0.02
<u>At least 2.00% of TCADV from Customer posted interest in all issues AND at least 2.00% of TCADV from Professional Customer and Non-Customer Liquidity Removing interest in all issues</u>	<u>\$0.03</u>

At least 0.80% of TCADV from Customer posted interest in all issues, plus executed ADV of 0.30% ADV of U.S. Equity Market Share Posted and Executed on NYSE Arca Equity Market	\$0.04
<u><i>OTP Holders and OTP Firms may earn one discount from the alternatives listed above</i></u>	

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