

Additions underlined
Deletions [bracketed]

NYSE Arca Equities

FEES AND CHARGES

Effective Date: [~~March~~]May 1, 2023

NYSE ARCA MARKETPLACE: TRADE RELATED FEES AND CREDITS¹

EXCHANGE TRANSACTIONS

ETP HOLDERS AND MARKET MAKERS²

Round Lots and Odd Lots (Per Share Price \$1.00 or Above and Per Share Price Below \$1.00)

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V. Standard Rates - Routing:

Category	Orders routed that remove liquidity	Primary Until 9:45 Orders and Primary After 3:55 Orders designated as Retail Orders and routed to the primary market	Primary Only ("PO") Orders in Tape A Securities routed to NYSE that add liquidity	PO Orders in Tape B Securities routed to NYSE American that add liquidity	PO Orders in Tape A Securities routed to NYSE Auction	PO Orders in Tape B Securities routed to NYSE American Auction	PO Orders in Tape B Securities routed to Cboe BZX Auction and in Tape C Securities routed to NASDAQ Auction
Securities priced at or above \$1.00	\$0.0035	\$0.0010	(\$0.0012)	No Credit	\$0.0010	\$0.0005	\$0.0030
Securities priced below \$1.00	0.35% of Dollar Value ^(a)	n/a	n/a	n/a	n/a	n/a	n/a

(a) Applicable to orders of listed and Nasdaq securities routed away and executed by another market center or participant.

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VII. Tier Rates - Round Lots and Odd Lots (Per Share Price \$1.00 or Above):

Adding Tiers					
Tier*	Minimum Requirement		Credit for Adding		
			Tape A	Tape B^(a)	Tape C
Tier 1	0.70% Adding of CADV, or	84 million shares Adding ADV	(\$0.0031)	(\$0.0023)	(\$0.0032)
Tier 2	0.50% Adding of CADV		(\$0.0030)	(\$0.0023)	(\$0.0031)
Tier 3	0.30% Adding of CADV, or	0.25% Adding CADV, 0.40% Tape B Remove of Tape B CADV, and 0.25% Customer and Professional Customer Electronic Posting Volume of TCADV on NYSE Arca Options by OTP Holder or OTP Firm affiliated with the ETP Holder	(\$0.0029)	(\$0.0022)	(\$0.0029)
Tier 4	0.20% Adding of CADV		(\$0.0025)**]	(\$0.0022)	(\$0.0025)**]
Tier 5	0.15% Adding of CADV		(\$0.0022)	(\$0.0020)	(\$0.0022)
<p>* ETP Holders that qualify for Tier 1, Tier 2, Tier 3 or Tier 4 and also have combined Adding and Removing of 1.0% of CADV receive a minimum of (\$0.0030) for Adding in Tape A, Tape B and Tape C</p> <p>** ETP Holders that qualify for Tier 4 and add 0.05% of CADV above May 2019 receive an incremental credit of (\$0.0002) for Tape A and C Adding]</p>					

ETP Holders that qualify for Tier 1, Tier 2, Tier 3 or Tier 4 are subject to the following fees:	
Routing	\$0.0030
Removing Liquidity in Tape B	\$0.0029
Closing Orders	\$0.0010

- (a) An additional credit in Tape B shall apply to ETP Holders affiliated with LMMs that add displayed liquidity based on the number of Less Active ETP Securities in which the LMM is registered as the LMM. The applicable tiered-credits are noted below (See LMM Transaction Fees and Credits).

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