

Additions underscored  
Deletions [bracketed]

### NYSE Arca Options Fees and Charges

Effective Date: December [13] 14, 2022

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QUALIFIED CONTINGENT CROSS (“QCC”) TRANSACTION FEES AND CREDITS	
Participant	Per Contract Fee or Credit
All Non-Customers in All Issues	\$0.20
All Customers in All Issues	\$0.00
[Floor] <u>Submitting</u> Broker credit for Non-Customer vs. Non-Customer QCC Transaction <sup>13</sup>	(\$0.22)
[Floor] <u>Submitting</u> Broker credit for Customer vs. Non-Customer QCC Transaction <sup>13</sup>	[( <del>\$0.11</del> )] ( <u>\$0.16</u> )

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#### FIRM AND BROKER DEALER MONTHLY FEE CAP

\$100,000 cap per month on combined Firm Proprietary Fees and Broker Dealer Fees for transactions in standard option contracts cleared in the customer range for Manual (Open Outcry) Executions, and QCC transactions [executed by a Floor Broker from the Floor of the Exchange], exclusive of Strategy Executions, Royalty Fees and firm trades executed via a Joint Back Office agreement.<sup>9</sup> Once a Firm or Broker Dealer has reached the Firm and Broker Dealer Monthly Fee Cap, an incremental service fee of \$0.01 per contract for Firm or Broker Dealer Manual transactions will apply, except for the execution of a QCC order, in which case there is no incremental service fee. The Monthly Firm and Broker Dealer Cap will decrease as set forth in the table below if Firms or Broker Dealers achieve the tier level set forth in the “Customer Penny Posting Credit Tiers.”

#### FIRM AND BROKER DEALER MONTHLY FIRM CAP TIERS

##### CUSTOMER PENNY POSTING CREDIT TIER ACHIEVED      FIRM CAP

Base or Tier 1      \$      100,000

<b>Tier 2</b>	\$	85,000
<b>Tier 3</b>	\$	80,000
<b>Tier 4</b>	\$	75,000
<b>Tier 5</b>	\$	70,000
<b>Tier 6 , 7, or 8</b>	\$	65,000

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## **NYSE Arca OPTIONS: GENERAL**

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### **BILLING DISPUTES**

All fee disputes concerning fees billed by the Exchange must be submitted to the Exchange in writing and must be accompanied by supporting documentation. All fee disputes must be submitted no later than sixty (60) days after receipt of a billing invoice.

1.- 8. No Change

9. Applies to OTP Holder proprietary orders (“F” origin code), QCC transactions [executed by Floor Brokers from the Floor of the Exchange], and broker dealer orders clearing in the customer range in all products, except for orders of joint back-office (“JBO”) participants, and does not include Strategy Executions or Royalty Fees. A JBO participant is a Member, Member Organization or non-member organization that maintains a JBO arrangement with a clearing broker-dealer (“JBO Broker”) subject to the requirements of Regulation T Section 220.7 of the Federal Reserve System. See also NYSE Arca Rule 4.16-O(c). For purpose of the Monthly Firm Cap, JBO participant orders are excluded because the Exchange is unable to differentiate orders of a JBO participant from orders of its JBO Broker and therefore is unable to aggregate the JBO participant’s orders.

10.- 12. No Change

13. QCC executions in which a Customer is on both sides of the QCC trade will not be eligible for the [Floor] Submitting Broker credit. [Floor Brokers that execute credit-eligible volume of at least 500,000 contracts in a month may earn an additional \$0.04 Floor Broker credit on all Customer vs. Non-Customer QCC transactions.]

The maximum [Floor] Submitting Broker credit paid shall not exceed \$375,000 per month per [Floor] Submitting Broker firm.

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