

Additions underlined
 Deletions [bracketed]

NYSE [Amex] MKT Equities Price List 2012

Last Updated: [May] August 1, 2012

Equity Transaction Fees and Credits for Listed Securities¹

Transactions in Securities with a Per Share Price of \$1.00 or More

Routing Fee – per share (except floor brokers)⁴ \$0.0030

Equity Transaction Fees and Credits For Nasdaq Securities Traded Pursuant to Unlisted Trading Privileges

Fees and Credits applicable to Market Participants for Transactions in Nasdaq Securities⁸

	Share Price \$1.00 or more	Share Price below \$1.00
Equity per Share Credit - per transaction - when adding liquidity, including displayed and non-displayed orders ..	[Not Applicable] <u>\$0.0025</u>	Not Applicable 0.10% of total dollar value of the transaction (Floor brokers

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

⁴ Applies to all orders routed from NYSE [Amex] MKT and executed in another market. Routing Fees are in lieu of NYSE [Amex] MKT transaction charges.

⁸ Does not apply to transactions by a Designated Market Maker or Supplemental Liquidity Provider for its own account (see separate fee schedule herein).

		only)
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).....	No Charge	No Charge
Non-electronic agency transactions between floor brokers in the crowd.....	No Charge	No Charge
Equity per Share Charge ⁹ – per transaction – for all Discretionary e-Quotes and verbal agency interest by floor brokers.....	\$0.0005	0.20% of total dollar value of the transaction
Equity per Share [Credit] <u>Charge</u> ⁹ for all other transactions (i.e., when taking liquidity from the Exchange).....	\$0.00[03] <u>30</u>	Not Applicable
Routing Fee – per share ¹⁰	\$0.00[27] <u>30</u>	0.30% of total dollar value of the transaction
Equity per Share Credit – per transaction for displayed liquidity – when adding liquidity in orders that originally display a minimum of 2,000 shares with a trading price of at least \$5.00 per share, for as long as the order is not cancelled in an amount that would reduce the original displayed amount below 2,000 shares.....	\$0.00[20] <u>35</u>	Not Applicable

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

	Share Price \$1.00 or more	Share Price below \$1.00
Equity per Share Credit ¹¹ - per transaction - when adding liquidity	\$0.00[20] <u>40</u>	0.20% of total

⁹ Includes shares, rights, warrants and closed end funds.

¹⁰ Applies to all orders routed from NYSE [Amex] MKT and executed in another market. Routing Fees are in lieu of NYSE [Amex] MKT transaction charges.

¹¹ 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.

		dollar value of the transaction
Equity per Share [Credit] <u>Charge</u> ⁹ for all other transactions (i.e., when taking liquidity from the Exchange).....	\$0.00[03]30	Not Applicable
Routing Fee – per share ¹⁰	\$0.00[27]30	0.30% of total dollar value of the transaction
Equity per Share Credit – per transaction for the displayed portion of s-Quotes – when adding liquidity in s-Quotes that display 2,000 shares or more at the time of execution with a trading price of at least \$5.00 per share	[\$0.0020] <u>Not Applicable</u>	Not Applicable

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

	Share Price \$1.00 or more	Share Price below \$1.00
Equity per Share Credit - per transaction - when adding liquidity, if SLP meets quoting requirement pursuant to Rule 107B	\$0.00[05]30	Not Applicable
Equity per Share Credit - per transaction - when adding liquidity, if SLP does not meet quoting requirement pursuant to Rule 107B.....	[Not Applicable] <u>\$0.0025</u>	Not Applicable
Equity per Share Credit – per transaction for displayed liquidity – when adding liquidity in orders that originally display a minimum of 2,000 shares with a trading price of at least \$5.00 per share, for as long as the order is not cancelled in an amount that would reduce the original displayed amount below 2,000 shares.....	\$0.00[20]35	Not Applicable

Crossing Sessions for both NYSE [Amex] MKT Equities listed and traded securities

- NYSE Crossing Session I (Single Stocks) No Charge
- 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] MKT Equities listed securities, and separately (ii) NYSE [Amex] MKT traded securities \$0.0002

Network B Fees

Notes:

(1) Includes NYSE [Amex] MKT listed or eligible securities (Network B Data) and NYSE listed securities (Network A Data).

Type of Service	Description	Amount of Charge
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Hot Hands Service: Normal Business Hours, Scheduled (Note: Hot Hands Service allows Users to use on-site data center personnel to maintain User equipment.)	Applies on non-NYSE [Amex] <u>MKT</u> holidays, Monday to Friday, 9am to 5pm if scheduled at least 1 day in advance.	\$200 per hour
Hot Hands Service: Extended Business Hours, Scheduled	Applies Monday to Friday 5pm to 9am, NYSE [Amex] <u>MKT</u> holidays, and weekends if scheduled at least 1 day in advance.	\$275 per hour

Hot Hands Service: Normal Business Hours, Expedited	Applies on non-NYSE [Amex] <u>MKT</u> holidays, Monday to Friday, 9am to 5pm if NOT scheduled at least 1 day in advance.	\$250 per hour
Hot Hands Service: Extended Business Hours, Expedited	Applies Monday to Friday 5pm to 9am, NYSE [Amex] <u>MKT</u> holidays, and weekends if NOT scheduled at least 1 day in advance.	\$325 per hour

Listing Fees

I. Original Listing Fees

The initial fees applicable to listing securities on NYSE [Amex] MKT are set forth in of the NYSE [Amex] MKT *Company Guide*.

II. Annual Listing Fees

The annual fees applicable to listing securities on NYSE [Amex] MKT are set forth in the NYSE [Amex] MKT *Company Guide*.

III. Additional Listing Fees

Additional fees applicable to listing securities on NYSE [Amex] MKT are set forth in the NYSE [Amex] MKT *Company Guide*.

Publications

Type	One Time Charge
NYSE [Amex] <u>MKT</u> Rules.....	\$18.00
NYSE [Amex] <u>MKT</u> Directory	\$6.00
NYSE [Amex] <u>MKT</u> Guide & Binder	\$56.82
NYSE [Amex] <u>MKT</u> Guide Binder	\$12.75
NYSE [Amex] <u>MKT</u> Guide Compilations/Inserts.....	\$16.00