

EXHIBIT 5

Additions underscored
Deletions [bracketed]

NYSE MKT Equities
Price List [2012]2013

Last Updated: [December 14] January 2, 201[2]3

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Regulatory Fees

Registration Fees

[Disclosure Processing Fee ¹⁷]	[\$95]
[Fingerprint Card Processing Fee ¹⁸]	[\$35]
[Fingerprint Results Processed thru other SROs ¹⁹]	[\$13]

Designated Examining Authority

Fee \$0.00040 per dollar of gross revenue as reported on quarterly or annual FOCUS Report Form X-17A-5 (or replacement Form). Fee is subject to a monthly minimum of \$1,000 for clearing firms and \$275 for non-clearing firms. Excludes commodity commission revenue.

Application Resulting in Statutory Disqualification Proceedings \$2,000

CRD Fees for Member Organizations that are not FINRA Members

<u>Each initial Form U4 filed for the registration of a representative or principal</u>	<u>\$100</u>
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[¹⁷ This fee will be assessed in connection with Forms U-4 and U-5 for all filings that contain new or amended disclosure information. This fee will be retained by FINRA as its Disclosure Processing Fee.]

[¹⁸ This fee will be assessed for receiving hard copy fingerprint cards as part of the registration function and submitting and processing the results of each card received. This fee will be retained by FINRA as its Fingerprint Card Processing Fee.]

[¹⁹ This fee will be retained by the FINRA.]

<u>Additional processing of each initial or amended Form U4, Form U5 or Form BD that includes the initial reporting, amendment, or certification of one or more disclosure events or proceedings</u>	<u>\$110</u>
<u>Processing and posting to the CRD system each set of fingerprints submitted electronically to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints</u>	<u>\$15</u>
<u>Processing and posting to the CRD system each set of fingerprint cards submitted in non-electronic format to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints</u>	<u>\$30</u>
<u>Processing and posting to the CRD system each set of fingerprint results and identifying information that have been processed through another self-regulatory organization and submitted to FINRA</u>	<u>\$30</u>
<u>System processing for each registered representative and principal</u>	<u>\$45 annually</u>

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