

NYSE AMEX OPTIONS FEE SCHEDULE*

*NYSE Amex Options is the options trading facility of NYSE MKT LLC

Effective as of [June 9]July 1, 2016

E. Amex Customer Engagement (“ACE”) Program – Standard Options. The per contract credits in the table below apply to Electronic transactions in Standard Options. The credits are payable to the OFP that submits, as agent, orders to the Exchange, and is payable only on Customer volume.

In calculating an OFP’s Electronic volume, the Exchange will exclude volume resulting from Mini Options and QCC trades, as these transactions are subject to separate fees and/or credits. Also excluded from an OFP’s Electronic volume calculation is any volume attributable to orders routed to another exchange in connection with the Options Order Protection and Locked/Crossed Market Plan referenced in Rule 991NY. Any volume excluded from an OFP’s Electronic volume calculation is ineligible for credits shown in the table below.

In calculating an OFP’s Electronic volume, each Customer order that takes liquidity will be weighted as 50% greater (i.e., 1.5 times the contract volume) for determining Customer Electronic ADV and Total Electronic ADV.

Volume resulting from CUBE Auction executions will be included in an OFP’s Electronic volume calculation for purposes of the ACE Program, but is ineligible for credits shown in the table below because there are separate credits paid for certain CUBE Auction volumes in Section I. G.

In calculating an OFP’s Electronic volume, the Exchange will include the activity of either (i) Affiliates of the OFP, such as when an OFP has an Affiliated NYSE Amex Options Market Making firm, or (ii) an Appointed MM of such OFP. An OFP must email the Exchange at optionsbilling@nyse.com and provide the Exchange with a list of its Affiliates in order for those Affiliates’ activity to be included with the OFP’s activity in calculating such OFP’s Electronic volume.

Under the ACE Program, an OFP will earn the highest per contract credit for which it qualifies on all eligible Customer volume, retroactive to the first contract traded in a month. In the event that an OFP is eligible for credits under both calculation methods, the OFP will be paid the highest per contract credit for all the OFP’s eligible volume.

		ACE Program – Standard Options		Credits Payable On Customer Volume Only			
Tier	Customer Electronic ADV as a % of Industry Customer Equity and ETF Options ADV	OR	Total Electronic ADV (of which 20% or greater of the minimum qualifying volume for each Tier must be Customer) as a % of Industry Customer Equity and ETF Options ADV	Customer Volume Credits	1 Year Enhanced Customer Volume Credits	3 Year Enhanced Customer Volume Credits	
1	0.00% to [0.60%] <u>0.75%</u>			N/A	\$0.00	\$0.00	\$0.00
2	> [0.60% to 0.80%] <u>0.75% to 1.00%</u> or ≥ 0.35% over October 2015 volumes			N/A	(\$0.18)	(\$0.18)	(\$0.18)
3	>[0.80%] <u>1.00%</u> to 1.25%			1.50% to 2.50% of which 20% or greater of 1.50% must be Customer	(\$0.19)	(\$0.20)	(\$0.21)
4	> 1.25 to 1.75%			> 2.50% to 3.50% of which 20% or greater of 2.50% must be	(\$0.20)	(\$0.21)	(\$0.22)

			Customer			
5	>1.75%		>3.50% of which 20% or greater of 3.5% must be Customer	(\$0.22)	(\$0.23)	(\$0.24)
