NYSE AMEX OPTIONS FEE SCHEDULE*

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

Last Updated: [October] November 1, 2013

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NYSE AMEX OPTIONS:
EXCESSIVE
BANDWIDTH UTILIZATION FEES

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[CANCELLATION FEE] $1.50 per cancelled order]

12 The Order to Trade Ratio Fee is calculated on a monthly basis. Orders, for both Mini and standard option contracts, that improve the Exchange’s prevailing best bid-offer (BBO) market at the time the orders are received will not be included in the order to execution ratio. For purposes of the Messages to Contracts Traded Ratio Fee, a “message” is defined as a quote and/or an order, for both Mini and standard option contracts. In calculating the Messages to Contracts Traded Ratio Fee, the Exchange will aggregate routing and market making activity in the case of an ATP Firm that has both a routing and a market making arm affiliated with its operation and will apply a 70% common ownership test to determine if such an affiliation exists. The Order to Trade Ratio Fee and the Messages to Contracts Traded Ratio Fee are referred to collectively as the Excessive Bandwidth Utilization Fees. In the event that an ATP Firm is liable for either or both of the Excessive Bandwidth Utilization Fees [and/or for charges pursuant to the Cancellation Fee] in a given month, that firm would only be charged the largest one of those [three] fees for the month. The Exchange may exclude one or more days of data for purposes of calculating the Excessive Bandwidth Utilization Fees [or Cancellation Fee] for an ATP Firm if the Exchange determines, in its sole discretion, that one or more ATP Firms or the Exchange was experiencing a bona fide systems problem.

13 [A fee of $1.50 will be assessed to an executing clearing member for each cancelled public customer order, for both Mini and standard option contracts, (origin code “C”) in excess of the number of public customer orders, for both Mini and standard option contracts, that the executing clearing member executes in a month for itself or for a correspondent firm. All public customer options orders, for both Mini and standard option contracts, from the same executing clearing member for itself or for such correspondent firm executed in the same series on the same side of the market at the same
price within a 300 second period will be aggregated and counted as one executed order for purposes of this fee. This fee shall not apply: (i) if an executing clearing member cancels less than 500 public customer orders, for both Mini and standard option contracts, in a month for itself or for a correspondent firm; and (ii) to cancelled orders, for both Mini and standard option contracts, that improve the Exchange’s prevailing bid-offer (BBO) market at the time the orders are received. This fee does not apply to Professional Customer orders.

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