NYSE Group Equities Customer Tier Output Interface Requirement Specification

NYSE Arca Equities

NYSE Equities

NYSE American Equities

NYSE National Equities

February 21, 2025

Document Version 2.0

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Introduction

This document outlines the NYSE Group Equity Volume Tier reports which contains month to date information on a T+1 basis on how a firm is tracking to individual tier programs and the relevant tiered rates and base rates as per current NYSE Equities fee schedules. This report is available daily for NYSE, NYSE Arca Equities, NYSE National, and NYSE American .

Naming Conventions and Formatting

1. Output file will be made available for secure pick-up via Managed File Transfer (MFT).
2. Output file will conform to the following standards:
    a. File will be comma delimited.
    b. File will not be sorted.
    c. Headers will be provided.
    d. File will be compressed and delivered as .dat.gz
    e. File naming convention will support standard versioning controls.
3. Output files will be provided by CRD# only and follow standard naming convention:
    a. <Market>_<Output Name>_<Type>_<FilterType>_<MFTID>_YYYYMMDD_Vx.dat.gz
        i. ARCX: ARCX_CUST_TIER_EF_<CRD#>_<MFTID>_YYYYMMDD_Vx.dat.gz
        ii. XNYS: XNYS_CUST_TIER_EF_<CRD#>_<MFTID>_YYYYMMDD_Vx.dat.gz
        iii. XCIS: XNYS_CUST_TIER_EF_<CRD#>_<MFTID>_YYYYMMDD_Vx.dat.gz
        iv. XASE: XNYS_CUST_TIER_EF_<CRD#>_<MFTID>_YYYYMMDD_Vx.dat.gz
4. Output file will be made available at start day on T+1 after 7 a.m.
5. File will be a month to date file with cumulative activity that resets on the first of the billing month
6. As new enhancements are made to these outputs, customers may expect to receive both current and new versions in their MFT file folder. All new versions will be tagged with a version number which will then allow the customer to migrate to the new file format when ready. Advance notification of dates will be provided with a minimum of 30 day notice dependent upon size and scope of changes.

Contact Information

Firms may request to subscribe to any of the outputs by contacting Customeroutput@nyse.com .

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Customer Tier Report Format

Report Record Format

Report will contain detail sections utilizing the same record layout. Summary Rate Sections consolidate detail programs and incentives to follow.

Detail section of the report will contain a row for each incentive program and tier type.

#	Field Name	Field Description	Format	Valid Value
1	P_TDATE	Trade date or report date	Integer (8)	Represented as: YYYYMMDD
2	PROGRAM_NAME	Incentive Program Name	Varchar (40)	**Detail Rows: See Appendix B1**
3	TIER_NAME	Identifies the Tier based Fee schedule.	Varchar (40)	**Valid Values: See Appendix B2**
4	TIER_PRIORITY	Rank of Tier from 1 (Best)	Integer (2)	1 = Best 2 and Up = Next best tiers in order of rank Base will not have a Priority Number
5	STATUS	Calculated Pass or Fail that identifies if Client Threshold for a given tier meets or exceeds Requirement Threshold	Varchar(1)	P = Pass F = Fail Note: For Base, this field will be blank. Applies to the entire tier, not for specific threshold.
6	CONDITION	Boolean condition that identifies whether multiple criteria must be met to achieve a Tier.	Varchar(3)	Blank (If not applicable) OR AND

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#	Field Name	Field Description	Format	Valid Value
7	CLIENT_STEP_UP_THRESHOLDNUMBER	Calculated volume threshold to meet each Program type, which combines baseline and required step up	Decimal (22,6)	Calculated Daily Note: For Base Rate threshold value will be null.
8	REQ_THRESHOLD	Volume threshold to meet each Program type.	Integer (12)	Does not change daily Note: For Base Rate threshold value will be null. Note: For Summary Rows, Threshold value will be null.
9	STEP_UP_BASELINE	Date of Step Up Baseline, if applicable	Varchar(8)	Format: If Month baseline: MMM-YYYY, If Quarter baseline: QQ-YYYY
10	THRESHOLD_TYPE	Description of Threshold	Varchar(40)	Valid Values: See Appendix D for Liquidity Indicator detail
11	CADV	Consolidated Average Daily Volume. Calculated. Same for every client	Integer (12,0)	If % CADV req't, = 000,000,000,000 If other requirement: blank
12	CADV_TYPE	Identifies the type of CADV	Varchar(20)	If % CADV req't: CADV types: A, B, C, ABC, Sub Dollar. Non Sub$: ABC_>$, B_>$, Options: Represents Equities Tapes A, B, C, ABC, Sub Dollar, Options Customer/Equity TCV, respectively
13	CLIENT_THRESHOLD	Calculated customer volume or % CADV per Firm.	Decimal (22,6)	Calculated daily. Format If % CADV req't, = 0.000000 Format If ADV req't, = 000,000,000 % CADV truncated at 6 decimal places ADV truncated at 1 share
16 - 90	Tier Rates	Applicable rate for each program and tier type.	Decimal (22,5)	Dollar amount (including decimal). Format = 0.00000 Tier rate will be total all in rate, combined with base rate, unless stated as incremental rate in the head. For trades of $1.00 and above, rate is applied to shares

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#	Field Name	Field Description	Format	Valid Value
				traded, for sub dollar tier trades below $1.00, rate is in decimals, applied to value. Base rates will be blank unless a higher tiered rate in the program is applicable.

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Appendix A1: Equity Tier Report Sample Format - ARCX

COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-80
P_TDATE	PROGRAM_ NAME	TIER_NAME	TIER_ PRIOR ITY	STATUS	CONDI TION	CLIENT_ STEP_UP_ THRESHOLD NUMBER	REQ_ THRESHOLD	STEP_ UP_ BASELINE	THRESHOLD_ TYPE	CADV	CADV_ TYPE	CLIENT_ THRESHOLD	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20230804	Add_Tier	Base											
20230804	Add_Tier	Tier_1A	1	F	OR		0.7		Adding_%	11636401401	ABC	0.522727	
20230804	Add_Tier	Tier_1B	2	F			84000000		AADV			57500000	
20230804	Add_Tier	Tier_2	3	P			0.5		Adding_%	11636401401	ABC	0.522727	
20230804	Add_Tier	Tier_3A	4	P	OR		0.3		Adding_%	11636401401	ABC	0.522727	
20230804	Add_Tier	Tier_3B1	5	F	AND		0.25		Adding_%	11636401401	ABC	0.522727	
20230804	Add_Tier	Tier_3B2	5	F	AND		0.4		Removing_%_B	1886430778	B	0.45	
20230804	Add_Tier	Tier_3B3	5	F			0.25		Option_Customer_%	37913711	Options	0.22	
20230804	Add_Tier	Tier_4	7	P			0.2		Adding_%	11636401401	ABC	0.522727	
20230804	Add_Tier	Tier_5	8	P			0.15		Adding_%	11636401401	ABC	0.522727	
20230804	Cross_Asset_Tiers	Base											
20230804	Cross_Asset_Tiers	Tier_1A	1	F	AND		0.75		Adding_%	11636401401	ABC	0.522727	
20230804	Cross_Asset_Tiers	Tier_1B	1	F			0.8		Option_Customer_%	37913711	Options	1.1	
20230804	Cross_Asset_Tiers	Tier_2A	2	F	AND		0.65		Adding_%	11636401401	ABC	0.522727	
20230804	Cross_Asset_Tiers	Tier_2B	2	F			0.8		Option_Customer_%	37913711	Options	1.1	
20230804	Cross_Asset_Tiers	Tier_3A	3	P	AND		0.5		Adding_%	11636401401	ABC	0.522727	
20230804	Cross_Asset_Tiers	Tier_3B	3	P			0.8		Option_Customer_%	37913711	Options	1.1	
20230804	Cross_Asset_Tiers	Tier_4A	4	P	AND		0.3		Adding_%	11636401401	ABC	0.522727273	
20230804	Cross_Asset_Tiers	Tier_4B	4	P			0.8		Option_Customer_%	37913711	Options	1.1	
20230804	Min_Add_Tier	Base											
20230804	Min_Add_Tier	Tier_1A	1	P	AND		0.2		Adding_%	11636401401	ABC	0.522727	
20230804	Min_Add_Tier	Tier_1B	1	P			1		Adding+Removing%	11636401401	ABC	1.1	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-80
P_TDATE	PROGRAM_ NAME	TIER_NAME	TIER_ PRIOR ITY	STATUS	CONDI TION	CLIENT_ STEP_UP_ THRESHOLD NUMBER	REQ_ THRESHOLD	STEP_ UP_ BASELINE	THRESHOLD_ TYPE	CADV	CADV_ TYPE	CLIENT_ THRESHOLD	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20230804	MPL_Adding_Tiers	Base											
20230804	MPL_Adding_Tiers	Tier_1	1	F			15000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_2	2	F			13000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_3A	3	F	OR		5000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_3B1	4	F	AND		2000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_3B2	4	F			50		MPL_Add_%_All_Add			45	
20230804	MPL_Adding_Tiers	Tier_4A	5	F	OR		3000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_4B1	6	F	AND		1000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_4B2	6	F			50		MPL_Add_%_All_Add			45	
20230804	MPL_Adding_Tiers	Tier_5	7	P			2000000		MPL_AADV			2550000	
20230804	MPL_Adding_Tiers	Tier_6	8	P			1500000		MPL_AADV			2550000	
20230804	Non_Display_Tiers	Base											
20230804	Non_Display_Tiers	Tier_1	1	F		0.198395	0.15	Jul-20	Non_Display_Step_Up%	11636401401	ABC	0.075000	
20230804	Non_Display_Tiers	Tier_2	2	F		0.148395	0.1	Jul-20	Non_Display_Step_Up%	11636401401	ABC	0.075000	
20230804	Non_Display_Tiers	Tier_3	3	P		0.098395	0.05	Jul-20	Non_Display_Step_Up%	11636401401	ABC	0.075000	
20230804	Non_Display_Tiers	Tier_4	4	P		0.068395	0.02	Jul-20	Non_Display_Step_Up%	11636401401	ABC	0.075000	
20230804	Retail_Tiers	Base											
20230804	Retail_Tiers	Tier_1A1	1	F	AND		0.5		Retail_Day_%	11636401401	ABC	0.175000	
20230804	Retail_Tiers	Tier_1A2	1	F	OR		1		Adding_%	11636401401	ABC	1.650000	
20230804	Retail_Tiers	Tier_1B1	2	F	AND		55000000		AADV			19250000	
20230804	Retail_Tiers	Tier_1B2	2	F			1		Adding_%	11636401401	ABC	0.522727	
20230804	Retail_Tiers	Tier_2	3	F			0.35		Retail_Day_%	11636401401	ABC	0.175000	
20230804	Retail_Tiers	Tier_3	4	F			0.2		Retail_Day_%	11636401401	ABC	0.175000	
20230804	Retail_Tiers	Step_Tier_1	5	F		0.229987	0.075	Apr-18	Retail_Day_Step_Up%	11636401401	ABC	0.065000	
20230804	Retail_Tiers	Tier_4	6	P			0.1		Retail_Day_%	11636401401	ABC	0.175000	
20230804	Retail_Tiers	Step_Tier_2	7	P		0.218195	0.05	May-22	Retail_Day_Step_Up%	11636401401	ABC	0.055000	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-80
P_TDATE	PROGRAM_ NAME	TIER_ NAME	TIER_ PRIO RITY	STA TUS	CONDI TION	CLIENT_ STEP_UP_ THRES HOLD NUMBER	REQ_ THRES HOLD	STEP_ UP_ BASE LINE	THRESHOLD_ TYPE	CADV	CADV_ TYPE	CLIENT_ THRES HOLD	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20230804	Step_Up_Tiers	Base											
20230804	Step_Up_Tiers	Tier_2	1	F		0.929336	0.4	Sep-19	Adding_%	11636401401	ABC	0.5227	
20230804	Step_Up_Tiers	Tier_3A	2	F	OR	0.879336	0.35	Sep-19	Adding_%	11636401401	ABC	0.2627	
20230804	Step_Up_Tiers	Tier_3B1	3	P	AND	0.779336	0.25	Sep-19	Adding_%	11636401401	ABC	0.2627	
20230804	Step_Up_Tiers	Tier_3B2	3	P			0.5		Removing_%	11636401401	ABC	0.5262	
20230804	Sub_Dollar_Tiers	Base											
20230804	Sub_Dollar_Tiers	Tier_1A	1	F	AND		1000000		Sub_Dollar_AADV			1250000	
20230804	Sub_Dollar_Tiers	Tier_1B	1	F		2.068762	1	Jul-20	Sub_Dollar_Add_%_Sub_$_ABC	1594709945	Sub_Dollar	0.4300	
20230804	Sub_Dollar_Tiers	Tier_2A	2	P	AND		1000000		Sub_Dollar_AADV			1250000	
20230804	Sub_Dollar_Tiers	Tier_2B	2	F		1.668762	0.6	Jul-20	Sub_Dollar_Add_%_Sub_$_ABC	1594709945	Sub_Dollar	0.4300	
20230804	Sub_Dollar_Tiers	Tier_3A	3	P	AND		1000000		Sub_Dollar_AADV			1250000	
20230804	Sub_Dollar_Tiers	Tier_3B	3	P		1.368762	0.3	Jul-20	Sub_Dollar_Add_%_Sub_$_ABC	1594709945	Sub_Dollar	0.4300	
20230804	Tape_B_StepUp_Tiers	Base											
20230804	Tape_B_StepUp_Tiers	Tier_1A	1	P	AND	1.078483	40	Q3-2019	Tape_B_Adding_Percent_Step_Up	1886430778	B	64.4452	
20230804	Tape_B_StepUp_Tiers	Tier_1B	1	P			0.5		Tape_B_Adding%	1886430778	B	0.53	
20230804	Tape_B_StepUp_Tiers	Tier_2A	2	P	AND	1.001448	30	Q3-2019	Tape_B_Adding_Percent_Step_Up	1886430778	B	64.4452	
20230804	Tape_B_StepUp_Tiers	Tier_2B	2	P			0.5		Tape_B_Adding%	1886430778	B	0.53	
20230804	Tape_B_StepUp_Tiers	Tier_3A	3	P	AND	0.924414	20	Q3-2019	Tape_B_Adding_Percent_Step_Up	1886430778	B	64.4452	
20230804	Tape_B_StepUp_Tiers	Tier_3B	3	P			0.5		Tape_B_Adding%	1886430778	B	0.53	
20230804	Tape_B_Tiers	Base											
20230804	Tape_B_Tiers	Tier_1	1	F			1.5		Tape_B_Adding%	1886430778	B	0.2300	
20230804	Tape_B_Tiers	Tier_2A	3	F	OR	1.076445	0.25	Apr-20	Tape_B_Adding%	1886430778	B	0.2300	
20230804	Tape_B_Tiers	Tier_2B	2	F			1		Tape_B_Adding%	1886430778	B	0.5300	
20230804	Tape_B_Tiers	Tier_3A	5	P	OR	0.976445	0.15	Apr-20	Tape_B_Adding%	1886430778	B	0.2300	
20230804	Tape_B_Tiers	Tier_3B1	4	F	AND		0.2		Tape_B_Adding%	1886430778	B	0.5300	
20230804	Tape_B_Tiers	Tier_3B2	4	F			0.5		Option_Market_Maker%	37913711	Options	0.4530	
20230804	Tape_C_Tiers	Base											
20230804	Tape_C_Tiers	Tier_1	2	F			0.4		Tape_C_Adding_%_ABC	11636401401	ABC	0.3300	

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20230804	Tape_C_Tiers	Tier_2	3	F			0.35		Tape_C_Adding_%_ABC	11636401401	ABC	0.3300	
20230804	Tape_C_Tiers	Tier_3	4	P			0.2		Tape_C_Adding_%_ABC	11636401401	ABC	0.3300	
20230804	Tracking_Tiers	Base											
20230804	Tracking_Tiers	Tier_1	1	P			1000000		Tracking_AADV			3200000	

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Appendix A2: Equity Tier Report Sample Format - XNYS

COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-83
Trade Date	Program_Name	Tier_Name	TIER_PRIORITY	P/F	Condition	Client Step Up Threshold	Requirement Threshold	Step Up Baseline Date	Threshold_Type	CADV	CADV Type	Client Threshold	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240401	Tape_A_Add_Tier	Base											
20240401	Tape_A_Add_Tier	Tier_1A	1	F	AND		1.20		Tape_A_Adding	3999000000	A	0.85	
20240401	Tape_A_Add_Tier	Tier_1B	1	F			0.12		Tape_A_MOCLOC	3999000000	A	0.55	
20240401	Tape_A_Add_Tier	Tier_2A	2	P	AND		0.750		Tape_A_Adding	3999000000	A	0.85	
20240401	Tape_A_Add_Tier	Tier_2B	2	P			0.100		Tape_A_MOCLOC	3999000000	A	0.55	
20240401	Tape_A_Add_Tier	Tier_3	3	F			0.350		Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Tape_A_Add_Tier	Tier_4A1	4	P	AND		0.400		Tape_A_Adding	3999000000	A	0.85	
20240401	Tape_A_Add_Tier	Tier_4A2	4	P	OR		0.050		Tape_A_MOCLOC	3999000000	A	0.55	
20240401	Tape_A_Add_Tier	Tier_4B1	5	P	AND		0.300		Tape_A_Adding	3999000000	A	0.85	
20240401	Tape_A_Add_Tier	Tier_4B2	5	P			200000		MPL_A_Adding			300000	
20240401	Tape_A_Add_Tier	Tier_5A1	6	F	OR		0.290		Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Tape_A_Add_Tier	Tier_5B1	6	F	AND		0.125		Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Tape_A_Add_Tier	Tier_5B2	6	F			2.000	Q1-2021	Tape_A_Adding_Customer_Multiple	3999000000	A	0.125	
20240401	Tape_A_Add_Tier	Tier_6A1	6	F	OR		0.220		Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Tape_A_Add_Tier	Tier_6B1	6	F	AND		0.150		Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Tape_A_Add_Tier	Tier_6B2	6	P			0.050	Q1-2021	Tape_A_Adding_Customer	3999000000	A	0.09	
20240401	Step_Up_Add_Tier	Base											
20240401	Step_Up_Add_Tier	Tier_2D1	1	F	AND		0.05		SLP_A_Adding	3999000000	A	0.5600	
20240401	Step_Up_Add_Tier	Tier_2D2	1	F	AND	0.7055	0.45	Jul-2019	Tape_ABC_Adding	3999000000	A	0.0393	
20240401	Step_Up_Add_Tier	Tier_2D3	1	F	AND		1.75	Jul-2019	Tape_ABC_Adding_Multiple	3999000000	A	0.1250	
20240401	Step_Up_Add_Tier	Tier_2D4	1	F			300		Tape_A_Quouting_Symbols_15_Pct			160	
20240401	Step_Up_Add_Tier	Tier_2C1	2	F	AND		0.05		SLP_A_Adding	3999000000	A	0.5600	
20240401	Step_Up_Add_Tier	Tier_2C2	2	F	AND	0.6055	0.35	Jul-2019	Tape_ABC_Adding	3999000000	A	0.0393	
20240401	Step_Up_Add_Tier	Tier_2C3	2	F	AND		1.75	Jul-2019	Tape_ABC_Adding_Multiple	3999000000	A	0.1250	
20240401	Step_Up_Add_Tier	Tier_2C4	2	F			300		Tape_A_Quouting_Symbols_15_Pct			160	
20240401	Step_Up_Add_Tier	Tier_2B1	3	F	AND		0.05		SLP_A_Adding	3999000000	A	0.5600	
20240401	Step_Up_Add_Tier	Tier_2B2	3	F	AND	0.4555	0.20	Jul-2019	Tape_ABC_Adding	3999000000	A	0.0393	
20240401	Step_Up_Add_Tier	Tier_2B3	3	F	AND		1.75	Jul-2019	Tape_ABC_Adding_Multiple	3999000000	A	0.1250	
20240401	Step_Up_Add_Tier	Tier_2B4	3	F			300		Tape_A_Quouting_Symbols_15_Pct			160	
20240401	Step_Up_Add_Tier	Tier_2A1	4	F	AND		0.05		SLP_A_Adding	3999000000	A	0.5600	
20240401	Step_Up_Add_Tier	Tier_2A2	4	F	AND	0.3555	0.10	Jul-2019	Tape_ABC_Adding	3999000000	A	0.0393	
20240401	Step_Up_Add_Tier	Tier_2A3	4	F	AND		1.75	Jul-2019	Tape_ABC_Adding_Multiple	3999000000	A	0.1250	
20240401	Step_Up_Add_Tier	Tier_2A4	4	F			300		Tape_A_Quouting_Symbols_15_Pct			160	
20240401	Step_Up_Add_Tier	Tier_1A1	5	F	AND		0.65		Tape_A_Adding	3999000000	A	0.8500	
20240401	Step_Up_Add_Tier	Tier_1A2	5	F		0.8555	0.60	Mar-2019	Tape_A_Adding	3999000000	A	0.0025	
20240401	Step_Up_Add_Tier	Tier_1B1	6	F	AND		0.45		Tape_A_Adding	3999000000	A	0.8500	
20240401	Step_Up_Add_Tier	Tier_1B2	6	F		0.4555	0.20	Mar-2019	Tape_A_Adding	3999000000	A	0.0025	
20240401	Step_Up_Add_Tier	Tier_4A	7	F	AND		0.20		Tape_A_Adding	3999000000	A	0.8500	
20240401	Step_Up_Add_Tier	Tier_4B	7	F		0.3055	0.05	Nov-2020	Tape_A_Adding	3999000000	A	0.0025	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-83
Trade Date	Program_Name	Tier_Name	TIER_PRIORITY	P/F	Condition	Client Step Up Threshold	Requirement Threshold	Step Up Baseline Date	Threshold_Type	CADV	CADV Type	Client Threshold	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240401	Floor_Broker_Tier	Base											
20240401	Floor_Broker_Tier	Tier_1	1	F			0.33		Tape_A_Floor_Adding	3999000000	A	0.2000	
20240401	Floor_Broker_Tier	Tier_2	2	F			0.25		Tape_A_Floor_Adding	3999000000	A	0.2000	
20240401	Floor_Broker_Tier	Tier_3	3	P			0.07		Tape_A_Floor_Adding	3999000000	A	0.2000	
20240401	MPL_Adding_Tier	Base											
20240401	MPL_Adding_Tier	Tier_1A	1	F	OR		0.0750		MPL_ABC_Adding	11636401401	ABC	0.0000	
20240401	MPL_Adding_Tier	Tier_1B	2	F			7250000000		MPL_ABC_Adding_ADV			4500000	
20240401	MPL_Adding_Tier	Tier_2	3	F			0.0150		MPL_ABC_Adding	11636401401	ABC	0.0000	
20240401	MPL_Adding_Tier	Tier_3	4	F			0.0075		MPL_ABC_Adding	11636401401	ABC	0.0000	
20240401	Non_Display_Adding_Tier	Base											
20240401	Non_Display_Adding_Tier	Tier_1	1	F			0.150		Non_Display_ABC_Adding	11636401401	ABC	0.0300	
20240401	Non_Display_Adding_Tier	Step_Up_Tier_1	2	F		0.0850	0.080	May-2020	Non_Display_MPL_ABC_Adding	11636401401	ABC	0.0500	
20240401	Non_Display_Adding_Tier	Tier_2	3	F			0.120		Non_Display_ABC_Adding	11636401401	ABC	0.0300	
20240401	Non_Display_Adding_Tier	Step_Up_Tier_2	4	P		0.0450	0.040	May-2020	Non_Display_MPL_ABC_Adding	11636401401	ABC	0.0500	
20240401	Non_Display_Adding_Tier	Step_Up_Tier_3	5	P		0.0250	0.020	May-2020	Non_Display_MPL_ABC_Adding	11636401401	ABC	0.0500	
20240401	Removing_Tiers	Base											
20240401	Removing_Tiers	Tier_1A	1	F	AND		25.000		DMM_Registration				
20240401	Removing_Tiers	Tier_1B	1	F			0.050		Tape_A_Adding	3999000000	A	0.8500	
20240401	Removing_Tiers	Tier_2A	2	F	AND		1.050		Tape_A_Adding	3999000000	A	0.8500	
20240401	Removing_Tiers	Tier_2B	2	F			0.010		Tape_BC_Adding	7637401401	BC	0.0000	
20240401	Removing_Tiers	Tier_3A	3	P	AND		0.300		Tape_A_Adding	3999000000	A	0.8500	
20240401	Removing_Tiers	Tier_3B	3	F			0.010		Tape_BC_Adding	7637401401	BC	0.0000	
20240401	Removing_Tiers	Tier_4A	4	P	AND		0.100		Tape_A_Adding	3999000000	A	0.8500	
20240401	Removing_Tiers	Tier_4B	4	F			0.007		Tape_BC_Adding	7637401401	BC	0.0000	
20240401	Removing_Tiers	Tier_5	5	P			0.050		Tape_A_Adding	3999000000	A	0.8500	
20240401	Removing_D_Order_Tier	Base	1										
20240401	Removing_D_Order_Tier	Tier_1	2	P			500000.00		Tape_A_D_Order_Remove_ADV			700000	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-83
Trade Date	Program_Name	Tier_Name	TIER_PRIORITY	P/F	Condition	Client Step Up Threshold	Requirement Threshold	Step Up Baseline Date	Threshold_Type	CADV	CADV Type	Client Threshold	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240401	SLP_A_Adding_Tiers	Base											
20240401	SLP_A_Adding_Tiers	Tier_1A	1	F	OR		1.000		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_1B1	2	F	AND		0.550		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_1B2	2	F	OR		500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_1C1	3	F	AND		0.800		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_1C2	3	F	AND		0.100		SLP_B_Adding	2291220420	B_SLP	0.0800	
20240401	SLP_A_Adding_Tiers	Tier_1C3	3	F	AND		0.075		SLP_C_Adding	3250000000	C_SLP	0.0600	
20240401	SLP_A_Adding_Tiers	Tier_1C4	3	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_A_Adding_Tiers	Tier_2A	4	F	OR		0.900		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_2B1	5	F	AND		0.450		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_2B2	5	F	OR		500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_2C1	6	F	AND		0.750		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_2C2	6	F	AND		0.100		SLP_B_Adding	2291220420	B_SLP	0.0800	
20240401	SLP_A_Adding_Tiers	Tier_2C3	6	F	AND		0.075		SLP_C_Adding	3250000000	C_SLP	0.0600	
20240401	SLP_A_Adding_Tiers	Tier_2C4	6	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_A_Adding_Tiers	Tier_3A	7	F	OR		0.600		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_3B1	8	F	AND		0.360		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_3B2	8	F			500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_4A	10	P	OR		0.450		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_4B1	11	F	AND		0.240		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_4B2	11	F			500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_5A	12	P	OR		0.250		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_5B1	13	F	AND		0.180		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_5B2	13	F			500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_6A	14	P	OR		0.200		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_6B1	15	F	AND		0.080		SLP_A_Adding	3999000000	A_SLP	0.5600	
20240401	SLP_A_Adding_Tiers	Tier_6B2	15	F			500.000		DMM_Registration			26	
20240401	SLP_A_Adding_Tiers	Tier_7	9	F			2.000		SLP_Registration_First_Months			0	
20240401	MOCLOC_Tiers	Base											
20240401	MOCLOC_Tiers	Tier_1A	1	F	AND		0.450		Prior_3_Months_MOC	3899000000	A_Prior_3_Months	0.3600	
20240401	MOCLOC_Tiers	Tier_1B	1	F	AND		0.700		Prior_3_Months_Close	3899000000	A_Prior_3_Months	0.6500	
20240401	MOCLOC_Tiers	Tier_1C	1	F	AND		35.000		Prior_3_Months_MOC_Mix			55.3846	
20240401	MOCLOC_Tiers	Tier_2A	2	P			0.350		Prior_3_Months_MOC	3899000000	A_Prior_3_Months	0.3600	
20240401	MOCLOC_Tiers	Tier_2B	2	P	AND		0.525		Prior_3_Months_Close	3899000000	A_Prior_3_Months	0.6500	
20240401	MOCLOC_Tiers	Tier_2C	2	P	AND		35.000		Prior_3_Months_MOC_Mix			55.3846	
20240401	MOCLOC_Tiers	Tier_3A1	3	P			0.200		Current_Month_MOC	3999000000	A	0.4500	
20240401	MOCLOC_Tiers	Tier_3A2	3	P	AND		0.300		Current_Month_Close	3999000000	A	0.7500	
20240401	MOCLOC_Tiers	Tier_3A3	3	P	AND		35.000		Current_Month_MOC_Mix			60.0000	
20240401	MOCLOC_Tiers	Tier_3B1	4	F	OR		0.200		Current_Month_MOC	3999000000	A	0.4500	
20240401	MOCLOC_Tiers	Tier_3B2	4	F	AND		0.300		Current_Month_Close	3999000000	A	0.7500	
20240401	MOCLOC_Tiers	Tier_3B3	4	F	AND		30000000		Closing_D_Order_ADV			20000000	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-83
Trade Date	Program_Name	Tier_Name	TIER_PRIORITY	P/F	Condition	Client Step Up Threshold	Requirement Threshold	Step Up Baseline Date	Threshold_Type	CADV	CADV Type	Client Threshold	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240401	Incremental_MOC_Add_Tier	Base											
20240401	Incremental_MOC_Add_Tier	Tier_1A1	1	F	AND		T1		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_1A2	1	F	OR		1.000		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier	Tier_1B1	2	F	AND		T2		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_1B2	2	F	OR		1.000		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier	Tier_1C1	3	F	AND		T3		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_1C2	3	F			1.000		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier	Tier_2A1	4	F	AND		T1		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_2A2	4	F	OR		0.500		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier	Tier_2B1	5	F	AND		T2		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_2B2	5	F	OR		0.500		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier	Tier_2C1	6	F	AND		T3		MOC_LOC_Tier			T2	
20240401	Incremental_MOC_Add_Tier	Tier_2C2	6	F			0.500		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Incremental_MOC_Add_Tier_FB	Base											
20240401	Incremental_MOC_Add_Tier_FB	Tier_1	1	P			250000		FB_Affiliated_ADV			300000	
20240401	Non_Auction_Close_Tier	Base											
20240401	Non_Auction_Close_Tier	Tier_1A1	1	P	AND		0.500		Tape_A_Adding	3999000000	A	0.85	
20240401	Non_Auction_Close_Tier	Tier_1A2	1	P	AND		T2		MOC_LOC_Tier			T2	
20240401	Non_Auction_Close_Tier	Tier_1A3	1	P			750000		Non_Auction_Close_ADV			21000000	
20240401	Non_Auction_Close_Tier	Tier_1B1	2	F	AND		1.050		Tape_A_Adding	3999000000	A	0.85	
20240401	Non_Auction_Close_Tier	Tier_1B2	2	F	AND		T3		MOC_LOC_Tier			T2	
20240401	Non_Auction_Close_Tier	Tier_1B3	2	F			750000		Non_Auction_Close_ADV			21000000	
20240401	Non_Auction_Close_Tier	Tier_2B1	3	P	AND		0.650		Tape_A_Adding	3999000000	A	0.85	
20240401	Non_Auction_Close_Tier	Tier_2B2	3	P	AND		T3		MOC_LOC_Tier			T2	
20240401	Non_Auction_Close_Tier	Tier_2B3	3	P			750000		Non_Auction_Close_ADV			21000000	
20240401	Non_Auction_Close_Tier	Tier_3	4	P			750000		Non_Auction_Close_ADV			21000000	
20240401	Route Tier 1	Base											
20240401	Route Tier 1	Tier_1A	1	F			0.200		Tape_ABC_Adding	11636401401	ABC	0.0393	
20240401	Client_Tape_B_Tier	Base											
20240401	Client_Tape_B_Tier	Tier_1	1	P			0.100		Tape_B_Adding	2403000000	B	0.1800	
20240401	Client_Tape_B_Tier	Tier_2	2	P			0.050		Tape_B_Adding	2403000000	B	0.1800	
20240401	Client_Tape_C_Tier	Base											
20240401	Client_Tape_C_Tier	Tier_C	1	F			0.250		Tape_C_Adding	5234401401	C	0.1600	
20240401	Client_Tape_C_Tier	Tier_1	2	P			0.100		Tape_C_Adding	5234401401	C	0.1600	
20240401	Client_Tape_C_Tier	Tier_2	3	P			0.050		Tape_C_Adding	5234401401	C	0.1600	

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	COL 14-83
Trade Date	Program_Name	Tier_Name	TIER_PRIORITY	P/F	Condition	Client Step Up Threshold	Requirement Threshold	Step Up Baseline Date	Threshold_Type	CADV	CADV Type	Client Threshold	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240401	SLP_B_Tier	Base											
20240401	SLP_B_Tier	Tier_1+A	1	F	AND		0.250		SLP_BC_Adding	6000000000	BC_SLP	0.0692	
20240401	SLP_B_Tier	Tier_1+B	1	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_B_Tier	Tier_1A	2	F	AND		0.100		SLP_B_Adding	2403000000	B_SLP	0.0800	
20240401	SLP_B_Tier	Tier_1B	2	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_B_Tier	Tier_2A	3	P	AND		0.030		SLP_B_Adding	2403000000	B_SLP	0.0800	
20240401	SLP_B_Tier	Tier_2B	3	P			200.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_C_Tier	Base											
20240401	SLP_C_Tier	Tier_1+A	1	F	AND		0.250		SLP_BC_Adding	6000000000	BC_SLP	0.0692	
20240401	SLP_C_Tier	Tier_1+B	1	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_C_Tier	Tier_1A	2	F	AND		0.075		SLP_C_Adding	3250000000	C_SLP	0.0600	
20240401	SLP_C_Tier	Tier_1B	2	F			400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_C_Tier	Tier_2A	3	P	AND		0.030		SLP_C_Adding	2403000000	B_SLP	0.0600	
20240401	SLP_C_Tier	Tier_2B	3	P			200.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_Cross_Tape	Base											
20240401	SLP_Cross_Tape	Tier_1A1	1	F			0.100		SLP_B_Adding	2403000000	B_SLP	0.0800	
20240401	SLP_Cross_Tape	Tier_1A2	1	F	AND		0.075		SLP_C_Adding	3250000000	C_SLP	0.0600	
20240401	SLP_Cross_Tape	Tier_1A3	1	F	AND		400.000		SLP_BC_Symbols_NBBO			375	
20240401	SLP_Cross_Tape	Tier_1B1	2	F	OR		300.000		SLP_B_Symbols_NBBO			225	
20240401	SLP_Cross_Tape	Tier_1B2	2	F	AND		300.000		SLP_C_Symbols_NBBO			150	

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Appendix A3: Equity Tier Report Sample Format - XCIS

COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13
P_TDATE	PROGRAM_NAME	TIER_NAME	TIER_PRIORITY	STATUS	CONDITION	CLIENT_STEP_UP_THRESHOLD_NUMBER	REQ_THRESHOLD	STEP_UP_BASELINE	THRESHOLD_TYPE	CADV	CADV_TYPE	CLIENT_THRESHOLD
20240510	Add_Tier	Base										
20240510	Add_Tier	Tier_4	4	P			0.050	500.000%	Adding_%	11,000,000,000	ABC	0.115
20240510	Add_Tier	Tier_3_A	3	F	AND		0.075	750.000%	Adding_%	11,000,000,000	ABC	0.115
20240510	Add_Tier	Tier_3_B	3	F			0.150	1500.000%	Adding+Removing%	11,000,000,000	ABC	0.130
20240510	Add_Tier	Tier_2_A	2	F	OR		0.110	1100.000%	Adding_%	11,000,000,000	ABC	0.115
20240510	Add_Tier	Tier_2_B	2	F			13,000,000		AADV			12,650,000
20240510	Add_Tier	Tier_1_A	1	F	OR		0.200%		Adding_%	11,000,000,000	ABC	0.115
20240510	Add_Tier	Tier_1_B	1	F			30,000,000		AADV			12,650,000

P_TDATE	Program_Name	Tier_Name	TIER_PRIORITY	STATUS	CONDITION	CLIENT_STEP_UP_THRESHOLD_NUMBER	REQ_THRESHOLD	STEP_UP_BASELINE	THRESHOLD_TYPE	CADV	CADV_TYPE	CLIENT_THRESHOLD
20240510	Dark_Tier	Base										
20240510	Dark_Tier	Tier_1		P			0.080		Adding_%	11,000,000,000	ABC	0.115

P_TDATE	Program_Name	Tier_Name	TIER_PRIORITY	STATUS	CONDITION	CLIENT_STEP_UP_THRESHOLD_NUMBER	REQ_THRESHOLD	STEP_UP_BASELINE	THRESHOLD_TYPE	CADV	CADV_TYPE	CLIENT_THRESHOLD
20240510	Removing_Tier	Base										
20240510	Removing_Tier	Tier_3_A	8	F	AND		50,000		AADV			12,650,000
20240510	Removing_Tier	Tier_3_B	8	F			0.020		Removing_%	11,000,000,000	ABC	0.015
20240510	Removing_Tier	Tier_2_A	7	F	AND		100,000		AADV			12,650,000
20240510	Removing_Tier	Tier_2_B	7	F			0.100		Removing_%	11,000,000,000	ABC	0.015
20240510	Removing_Tier	Tier_1_F_1	6	F	AND		13,000,000		AADV			12,650,000
20240510	Removing_Tier	Tier_1_F_2	6	F	OR		19,000,000		AADV+RADV			14,300,000
20240510	Removing_Tier	Tier_1_E_1	5	F	AND		0.110		Adding_%	11,000,000,000	ABC	0.115
20240510	Removing_Tier	Tier_1_E_2	5	F	OR		19,000,000		AADV+RADV			14,300,000
20240510	Removing_Tier	Tier_1_D_1	4	F	AND		13,000,000		AADV			12,650,000
20240510	Removing_Tier	Tier_1_D_2	4	F	OR		0.160		Adding+Removing%	11,000,000,000	ABC	0.130
20240510	Removing_Tier	Tier_1_C_1	3	F	AND		250,000		AADV			12,650,000
20240510	Removing_Tier	Tier_1_C_2	3	F	OR		21,500,000		AADV+RADV			14,300,000
20240510	Removing_Tier	Tier_1_B_1	2	F	AND		0.110		Adding_%	11,000,000,000	ABC	0.115
20240510	Removing_Tier	Tier_1_B_2	2	F	OR		0.160		Adding+Removing%	11,000,000,000	ABC	0.130
20240510	Removing_Tier	Tier_1_A_1	1	F	AND		250,000		AADV			12,650,000
20240510	Removing_Tier	Tier_1_A_2	1	F			0.180		Adding+Removing%	11,000,000,000	ABC	0.130

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COL 1	COL 2	COL 3	COL 4	COL 5	COL 6	COL 7	COL 8	COL 9	COL 10	COL 11	COL 12	COL 13	
P_TDATE	PROGRAM_NAME	TIER_NAME	TIER_PRIORITY	STATUS	CONDITION	CLIENT_STEP_UP_THRESHOLD_NUMBER	REQ_THRESHOLD	STEP_UP_BASELINE	THRESHOLD_TYPE	CADV	CADV_TYPE	CLIENT_THRESHOLD	Tier Rates - Multiple Columns: 14 to 80 (See Appendix B)
20240510		Base Add											
20240510	Adding_Tier	Tier_2	2	P			700,000		AADV			800,000	
20240510	Adding_Tier	Tier_1	1	F			3,500,000		AADV			800,000	

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Appendix B1: PROGRAM_NAME Details

NYSE Arca	NYSE	NYSE National	NYSE American
Add_Tier	Client_Tape_B_Tier	Add_Tier	Adding_Tier
Min_Add_Tier	Client_Tape_C_Tier	Dark_Tier	
Cross_Asset_Tiers	Floor_Broker_Rebate_Tier	Removing_Tier	
Step_Up_Tiers	Floor_Broker_Rebate_Tier_1		
Retail_Tiers	Floor_Broker_Tier		
MPL_Adding_Tiers	Incremental_MOC_Add_Tier		
Non_Display_Tiers	Incremental_MOC_Add_Tier_FB		
Tracking_Tiers	MOCLOC_Tiers		
Tape_B_Tiers	MPL_Adding_Tier		
Tape_B_StepUp_Tiers	Non_Auction_Close_Early_Tier		
Tape_C_Tiers	Non_Auction_Close_Late_Tier		
Sub_Dollar_Tiers	Non_Auction_Close_Mid_Tier		
	Non_Auction_Close_Tier		
	Non_Display_Adding_Tier		
	Removing_D_Order_Tier		
	Removing_Tiers		
	Route Tier 1		
	SLP_A_Adding_Tiers		
	SLP_B_Tier		
	SLP_C_Tier		
	SLP_Cross_Tape		
	SLP_Setter_Tier		
	Step_Up_Add_Tier		
	Tape_A_Add_Tier		

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Appendix B2: TIER_NAME Details

Tier Name	XNYS	ARCX	XCIS	NSE
Base	x	x	x	X
Step_Tier_1		x		
Step_Tier_2		x		
Step_Up_Tier_1	x			
Step_Up_Tier_2	x			
Step_Up_Tier_3	x			
Tier_1	x	x	x	X
Tier_1+A	x			
Tier_1+B	x			
Tier_1A	x	x		
Tier_1A1	x	x		
Tier_1A2	x	x		
Tier_1A3	x			
Tier_1_A			x	
Tier_1_A_1			x	
Tier_1_A_2			x	
Tier_1B	x	x		
Tier_1B1	x	x		
Tier_1B2	x	x		
Tier_1_B			x	
Tier_1_B_1			x	
Tier_1_B_2			x	
Tier_1C	x			
Tier_1C1	x			
Tier_1C2	x			
Tier_1C3	x			
Tier_1C4	x			
Tier_1_C_1			x	

Tier Name	XNYS	ARCX	XCIS	NSE
Tier_1_C_2			x	
Tier_1_D_1			x	
Tier_1_D_2			x	
Tier_2	x	x		X
Tier_2A	x	x		
Tier_2A1	x			
Tier_2A2	x			
Tier_2A3	x			
Tier_2A4	x			
Tier_2B	x	x		
Tier_2B1	x			
Tier_2B2	x			
Tier_2B3	x			
Tier_2B4	x			
Tier_2C	x			
Tier_2C1	x			
Tier_2C2	x			
Tier_2_A			x	
Tier_2_B			x	
Tier_2C3	x			
Tier_2C4	x			
Tier_2D1	x			
Tier_2D2	x			
Tier_2D3	x			
Tier_2D4	x			
Tier_3	x	x		
Tier_3A	x	x		
Tier_3A1	x			

	XNYS	ARCX	XCIS	NSE
Tier_3A2	x			
Tier_3A3	x			
Tier_3B	x	x		
Tier_3B1	x	x		
Tier_3B2	x	x		
Tier_3B3	x	x		
Tier_3_A			x	
Tier_3_B			x	
Tier_4		x	x	
Tier_4A	x	x		
Tier_4A1	x			
Tier_4A2	x			
Tier_4B	x	x		
Tier_4B1	x	x		
Tier_4B2	x	x		
Tier_5	x	x		
Tier_5A	x			
Tier_5A1	x			
Tier_5B1	x			
Tier_5B2	x			
Tier_6		x		
Tier_6A	x			
Tier_6A1	x			
Tier_6B1	x			
Tier_6B2	x			
Tier_7	x			
Tier_C	x			

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Appendix C1: Rate Summary and Relevant Tier to Compare for Best Rate - ARCX

Column	Relevant Program	Add_Tier	Min_Add_Tier	Cross_Asset_Tiers	Step_Up_Tiers	Retail_Tiers	MPL_Adding_Tiers	Non_Display_Tiers	Tracking_Tiers	Tape_B_Tiers	Tape_B_StepUp_Tiers	Tape_C_Tiers	Sub_Dollar_Tiers
13	Display Add-Tape A	Y	Y	Y	Y								
14	Display Add-Tape B	Y	Y	Y	Y					Y			
15	Display Add-Tape C	Y	Y	Y	Y	Y						Y	
17	Remove-Tape B	Y											
18	Remove-Tape C					Y						Y	
20	Remove-P/I Tape B	Y											
22	MPL A-Tape A						Y						
23	MPL B-Tape B						Y						
24	MPL C-Tape C						Y						
25	Non Display-Tape A							Y					
26	Non Display-Tape B							Y					
27	Non Display-Tape C							Y					
28	Route Remove-Tape A	Y											
29	Route Remove-Tape B	Y											
30	Route Remove-Tape C	Y											
49	MOC-Tape A	Y											
50	MOC-Tape B	Y											
51	MOC-Tape C	Y											
52	LOC-Tape A	Y											
53	LOC-Tape B	Y											
54	LOC-Tape C	Y											
61	Retail Add-Tape A					Y							
62	Retail Add-Tape B					Y							
63	Retail Add-Tape C					Y							
64	Retail Day Remove-Tape A					Y							
65	Retail Day Remove-Tape B					Y							
66	Retail Day Remove-Tape C					Y							
67	Tracking Tape-Tape A								Y				
68	Tracking Tape-Tape B								Y				
69	Tracking Tape-Tape C								Y				

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Column	Relevant Program	Add_Tier	Min_Add _Tier	Cross_ Asset_ Tiers	Step_ Up_ Tiers	Retail_ Tiers	MPL_ Adding_ Tiers	Non_ Display_ Tiers	Tracking_ Tiers	Tape_ B_ Tiers	Tape_B_ StepUp_ Tiers	Tape_ C_ Tiers	Sub _Dollar_ Tiers
68	TRACKING_TAPE_TAPE_A								Y				
69	TRACKING_TAPE_TAPE_B								Y				
70	TRACKING_TAPE_TAPE_C								Y				
71	SUB_DOLLAR_ADD_TAPE_TAPE_A_PCT_VALUE												Y
72	SUB_DOLLAR_ADD_TAPE_TAPE_B_PCT_VALUE												Y
73	SUB_DOLLAR_ADD_TAPE_TAPE_C_PCT_VALUE												Y
74	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_A_PCT_VALUE												Y
75	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_B_PCT_VALUE												Y
76	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_C_PCT_VALUE												Y
77	NON_DISPLAY_ADD_TAPE_A_INCREMENTAL					Y							
78	NON_DISPLAY_ADD_TAPE_B_INCREMENTAL					Y							
79	NON_DISPLAY_ADD_TAPE_C_INCREMENTAL					Y							
80	TAPE_B_INCREMENTAL_CREDIT_TAPE_B										Y		
86	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_A_PCT_VALUE												Y
87	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_B_PCT_VALUE												Y
88	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_C_PCT_VALUE												Y

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Appendix C2: Rate Summary and Relevant Tier to Compare for Best Rate - XNYS

Column	Relevant Program	Tape_A_Add_Tier	Step_Up_Add_Tier	Floor_Broker_Tier	MPL_Adding_Tier	Non_Display_Adding_Tier	Removing_Tiers	Removing_D_Order_Tier	SLP_A_Adding_Tiers	MOCLOC_Tiers	Incremental_MOC_Add_Tier	Incremental_MOC_Add_Tier_FB	Non_Auction_Close_Tier	Route Tier 1	Client_Tape_B_Tier	Client_Tape_C_Tier	SLP_B_Tier	SLP_C_Tier	SLP_Cross_Tape	SLP_Cross_Tape	Floor_Broker_Rebate_Tier
16	Display Add-Tape A	Y	Y																		
17	Display Add-Tape B		Y												Y						
18	Display Add-Tape C		Y													Y					
19	Remove-Tape A						Y														
20	Remove-Tape B						Y														
21	Remove-Tape C						Y									Y					
22	Remove-P/I Tape A						Y														
23	Remove-P/I Tape B						Y														
24	Remove-P/I Tape C						Y														
25	MPL A-Tape A				Y																
26	MPL B-Tape B				Y												Y				
27	MPL C-Tape C				Y													Y			
28	Non Display-Tape A					Y															
29	Non Display-Tape B					Y															
30	Non Display-Tape C					Y															
31	Route Remove-Tape A													Y							
32	Route Remove-Tape B													Y							
33	Route Remove-Tape C													Y							
37	SLP Disp Add-Tape A								Y												
38	SLP Disp Add-Tape B																Y				
39	SLP Disp Add-Tape C																	Y			
40	SLP Non Disp -Tape A								Y												
41	SLP Non Disp -Tape B																Y				
42	SLP Non Disp -Tape C																	Y			
43	SLP Incremental Cross Tape -Tape A																		Y	Y	Y
46	FB Add-Tape A			Y																	
49	FB DO Remove-Tape A							Y													
52	MOC-Tape A									Y											
55	LOC-Tape A									Y											
58	MOC Inc Crd - Add Tier-Tape A										Y	Y									
61	MOC Inc Crd FB Tier -Tape A										Y	Y									
83	Early D Order At the Close												Y								
84	Mid D Order At the Close												Y								
85	Late D Order At the Close												Y								
86	Floor Incentive Incremental Add Credit																				Y
87	Floor Incentive Incremental Close Credit																				Y

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Appendix C3: Rate Summary and Relevant Tier to Compare for Best Rate - XCIS and XASE

	Market	XCIS	XCIS	XCIS	XASE
Column	Rate Type	Add_Tier	Dark_Tier	Removing_ Tier	Adding_ Tier
14	DISPLAY_ADD_TAPE_A	Y			Y
15	DISPLAY_ADD_TAPE_B	Y			Y
16	DISPLAY_ADD_TAPE_C	Y			Y
17	REMOVE_TAPE_A			Y	Y
18	REMOVE_TAPE_B			Y	Y
19	REMOVE_TAPE_C			Y	Y
20	REMOVE_P_I_TAPE_A				Y
21	REMOVE_P_I_TAPE_B				Y
22	REMOVE_P_I_TAPE_C				Y
23	MPL_A_TAPE_A				Y
24	MPL_B_TAPE_B				Y
25	MPL_C_TAPE_C				Y
26	NON_DISPLAY_TAPE_A	Y	Y		Y
27	NON_DISPLAY_TAPE_B	Y	Y		Y
28	NON_DISPLAY_TAPE_C	Y	Y		Y
29	ROUTE_REMOVE_TAPE_A				
30	ROUTE_REMOVE_TAPE_B				
31	ROUTE_REMOVE_TAPE_C				
32	SETTER_INCREMENTAL_TAPE_A				Y
33	SETTER_INCREMENTAL_TAPE_B				Y
34	SETTER_INCREMENTAL_TAPE_C				Y
35	SLP_DISP_ADD_TAPE_A				
36	SLP_DISP_ADD_TAPE_B				
37	SLP_DISP_ADD_TAPE_C				
38	SLP_NON_DISP_TAPE_A				
39	SLP_NON_DISP_TAPE_B				
40	SLP_NON_DISP_TAPE_C				
41	SLP_INCREMENTAL_CROSS_TAPE_TAPE_A				
42	SLP_INCREMENTAL_CROSS_TAPE_TAPE_B				
43	SLP_INCREMENTAL_CROSS_TAPE_TAPE_C				
44	FB_ADD_TAPE_A				
45	FB_ADD_TAPE_B				
46	FB_ADD_TAPE_C				
47	FB_DO_REMOVE_TAPE_A				
48	FB_DO_REMOVE_TAPE_B				

	Market	XCIS	XCIS	XCIS	XASE
Column	Rate Type	Add_Tier	Dark_Tier	Removing _Tier	Adding_ Tier
49	FB_DO_REMOVE_TAPE_C				
50	MOC_TAPE_A				
51	MOC_TAPE_B				
52	MOC_TAPE_C				
53	LOC_TAPE_A				
54	LOC_TAPE_B				
55	LOC_TAPE_C				
56	MOC_INC_CRD_ADD_TIER_TAPE_A				
57	MOC_INC_CRD_ADD_TIER_TAPE_B				
58	MOC_INC_CRD_ADD_TIER_TAPE_C				
59	MOC_INC_CRD_FB_TIER_TAPE_A				
60	MOC_INC_CRD_FB_TIER_TAPE_B				
61	MOC_INC_CRD_FB_TIER_TAPE_C				
62	RETAIL_ADD_TAPE_A				
63	RETAIL_ADD_TAPE_B				
64	RETAIL_ADD_TAPE_C				
65	RETAIL_DAY_REMOVE_TAPE_A				
66	RETAIL_DAY_REMOVE_TAPE_B				
67	RETAIL_DAY_REMOVE_TAPE_C				
68	TRACKING_TAPE_TAPE_A				
69	TRACKING_TAPE_TAPE_B				
70	TRACKING_TAPE_TAPE_C				
71	SUB_DOLLAR_ADD_TAPE_TAPE_A_PCT_VALUE				
72	SUB_DOLLAR_ADD_TAPE_TAPE_B_PCT_VALUE				
73	SUB_DOLLAR_ADD_TAPE_TAPE_C_PCT_VALUE				
74	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_A_PCT_VALUE				
75	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_B_PCT_VALUE				
76	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_C_PCT_VALUE				
77	NON_DISPLAY_ADD_TAPE_A_INCREMENTAL				
78	NON_DISPLAY_ADD_TAPE_B_INCREMENTAL				
79	NON_DISPLAY_ADD_TAPE_C_INCREMENTAL				
80	TAPE_B_INCREMENTAL_CREDIT_TAPE_B				
81	EARLY_D_ORDER_AT_THE_CLOSE				
82	MID_D_ORDER_AT_THE_CLOSE				
83	LATE_D_ORDER_AT_THE_CLOSE				

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Appendix D1: Relevant Liquidity Codes for Each Tiered Rate - ARCX

Each market indicator

Column	Tier Rate	Relevant Liquidity indicator(s) on NYSE Arca
16	DISPLAY_ADD_TAPE_A	A, AB, ASB
17	DISPLAY_ADD_TAPE_B	A, AB, ASB
18	DISPLAY_ADD_TAPE_C	A, AB, ASB
19	REMOVE_TAPE_A	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
20	REMOVE_TAPE_B	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
21	REMOVE_TAPE_C	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
22	REMOVE_P_I_TAPE_A	RBN
23	REMOVE_P_I_TAPE_B	RBN
24	REMOVE_P_I_TAPE_C	RBN
25	MPL_A_TAPE_A	AML
26	MPL_B_TAPE_B	AML
27	MPL_C_TAPE_C	AML
28	NON_DISPLAY_TAPE_A	AND
29	NON_DISPLAY_TAPE_B	AND
30	NON_DISPLAY_TAPE_C	AND
31	ROUTE_REMOVE_TAPE_A	Multiple
32	ROUTE_REMOVE_TAPE_B	Multiple
33	ROUTE_REMOVE_TAPE_C	Multiple
52	MOC_TAPE_A	CM
53	MOC_TAPE_B	CM
54	MOC_TAPE_C	CM
55	LOC_TAPE_A	C
56	LOC_TAPE_B	C
57	LOC_TAPE_C	C
64	RETAIL_ADD_TAPE_A	ARE, AREI
65	RETAIL_ADD_TAPE_B	ARE, AREI

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Column	Tier Rate	Relevant Liquidity indicator(s) on NYSE Arca
66	RETAIL_ADD_TAPE_C	ARE, AREI
67	RETAIL_DAY_REMOVE_TAPE_A	RR, RNDR, RBD
68	RETAIL_DAY_REMOVE_TAPE_B	RR, RNDR, RBD
69	RETAIL_DAY_REMOVE_TAPE_C	RR, RNDR, RBD
70	TRACKING_TAPE_TAPE_A	AT
71	TRACKING_TAPE_TAPE_B	AT
72	TRACKING_TAPE_TAPE_C	AT
73	SUB_DOLLAR_ADD_TAPE_TAPE_A_PCT_VALUE	AZ, ANZ, ADZ
74	SUB_DOLLAR_ADD_TAPE_TAPE_B_PCT_VALUE	AZ, ANZ, ADZ
75	SUB_DOLLAR_ADD_TAPE_TAPE_C_PCT_VALUE	AZ, ANZ, ADZ
76	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_A_PCT_VALUE	AREZ, ARIZ
77	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_B_PCT_VALUE	AREZ, ARIZ
78	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_C_PCT_VALUE	AREZ, ARIZ
79	NON_DISPLAY_ADD_TAPE_A_INCREMENTAL	AND
80	NON_DISPLAY_ADD_TAPE_B_INCREMENTAL	AND
81	NON_DISPLAY_ADD_TAPE_C_INCREMENTAL	AND
82	TAPE_B_INCREMENTAL_CREDIT_TAPE_B	A, AB, ASB
88	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_A_PCT_VALUE	RBDZ,RNRZ,RRZ
89	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_B_PCT_VALUE	RBDZ,RNRZ,RRZ
90	SUB_DOLLAR_RETAIL_DAY_REMOVE_TAPE_C_PCT_VALUE	RBDZ,RNRZ,RRZ

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Appendix D2: Relevant Liquidity Codes for Each Tiered Rate - XNYS

Column	Tier Rate	Relevant Billing Liquidity indicator(s) for NYSE
16	DISPLAY_ADD_TAPE_A	A, AB, ASB,ASP
17	DISPLAY_ADD_TAPE_B	A, AB, ASB,ASP
18	DISPLAY_ADD_TAPE_C	A, AB, ASB,ASP
19	REMOVE_TAPE_A	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
20	REMOVE_TAPE_B	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
21	REMOVE_TAPE_C	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
22	REMOVE_P_I_TAPE_A	RBN
23	REMOVE_P_I_TAPE_B	RBN
24	REMOVE_P_I_TAPE_C	RBN
25	MPL_A_TAPE_A	AML
26	MPL_B_TAPE_B	AML
27	MPL_C_TAPE_C	AML
28	NON_DISPLAY_TAPE_A	AND
29	NON_DISPLAY_TAPE_B	AND
30	NON_DISPLAY_TAPE_C	AND
31	ROUTE_REMOVE_TAPE_A	Multiple Indicators starting with X%
32	ROUTE_REMOVE_TAPE_B	Multiple Indicators starting with X%
33	ROUTE_REMOVE_TAPE_C	Multiple Indicators starting with X%
37	SLP_DISP_ADD_TAPE_A	A, AB, ASB,ASP
38	SLP_DISP_ADD_TAPE_B	A, AB, ASB,ASP
39	SLP_DISP_ADD_TAPE_C	A, AB, ASB,ASP
40	SLP_NON_DISP_TAPE_A	AND
41	SLP_NON_DISP_TAPE_B	AND
42	SLP_NON_DISP_TAPE_C	AND
43	SLP_INCREMENTAL_CROSS_TAPE_TAPE_A	A, AB, ASB,ASP
46	FB_ADD_TAPE_A	A, AB, ASB,ASP
49	FB_DO_REMOVE_TAPE_A	RDA
52	MOC_TAPE_A	CM,CMR
55	LOC_TAPE_A	C,CR
58	MOC_INC_CRD_ADD_TIER_TAPE_A	CM,CMR
61	MOC_INC_CRD_FB_TIER_TAPE_A	CM,CMR
83	EARLY_D_ORDER_AT_THE_CLOSE	CED
84	MID_D_ORDER_AT_THE_CLOSE	CMD

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85	LATE_D_ORDER_AT_THE_CLOSE	CLD
86	FLOOR_INCENTIVE_INCREMENTAL_ADD_CREDIT	A, AB, ASB,ASP
87	FLOOR_INCENTIVE_CLOSE_INCREMENTAL_CREDIT	CED,CMD,CLD

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Column	Tier Rate	Relevant Billing Liquidity indicator(s) for XCIS	Relevant Billing Liquidity indicator(s) for XASE
16	DISPLAY_ADD_TAPE_A	A, AB, ASB,ARE,AREI	A, AB, ARE,AREI
17	DISPLAY_ADD_TAPE_B	A, AB, ASB,ARE,AREI	A, AB, ARE,AREI
18	DISPLAY_ADD_TAPE_C	A, AB, ASB,ARE,AREI	A, AB, ARE,AREI
19	REMOVE_TAPE_A	R,RND,RI,RR,RNDR,RIR	R,RND,RI,RR,RNDR,RIR
20	REMOVE_TAPE_B	R,RND,RI,RR,RNDR,RIR	R,RND,RI,RR,RNDR,RIR
21	REMOVE_TAPE_C	R,RND,RI,RR,RNDR,RIR	R,RND,RI,RR,RNDR,RIR
22	REMOVE_P_I_TAPE_A	NA	RBN,RBI,RBD
23	REMOVE_P_I_TAPE_B	NA	RBN,RBI,RBD
24	REMOVE_P_I_TAPE_C	NA	RBN,RBI,RBD
25	MPL_A_TAPE_A	NA	AML
26	MPL_B_TAPE_B	NA	AML
27	MPL_C_TAPE_C	NA	AML
28	NON_DISPLAY_TAPE_A	AND	AND
29	NON_DISPLAY_TAPE_B	AND	AND
30	NON_DISPLAY_TAPE_C	AND	AND
31	SETTER_INCREMENTAL_TAPE_A	NA	ASB
32	SETTER_INCREMENTAL_TAPE_B	NA	ASB
33	SETTER_INCREMENTAL_TAPE_C	NA	ASB

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Appendix E1: Relevant Liquidity Codes for Threshold Type - ARCX

THRESHOLD_TYPE	Relevant Billing Indicator(s) for Requirement
AADV	A%
Adding_%	A%
Adding_%_>$	A,AB,ADB,ADM,ADZ,AML,AND,ARE,AREI,ASB,AT
Adding+Removing%	A%, R%
Adding_>$+Removing%_>$	A,AB,ADB,ADM,ADZ,AML,AND,ARE,AREI,ASB,AT+R,RBD,RBI,RBN,RDB,RDM,RDZ,RI,RIR,RML,RND,RNDR,RR,RRM
MPL_AADV	AML, AMZ
LMM_Less_Active_Symbols	na
MPL_Add_%_All_Add	(AML, AMZ) / A%
Non_Display_Step_Up%>$	AND, AML
Non_Display_Step_Up%	AML, AMZ, AND, ANZ
Option_Customer_%	A% (Options Customer)
Option_Market_Maker%	A% (Options Market Maker)
Removing_%	R%
Removing_%_B_>$	R,RBD,RBI,RBN,RDB,RDM,RDZ,RI,RIR,RML,RND,RNDR,RR,RRM
Removing_%_B	R% (Tape B)
Retail_Day_%	ARE, AREI, AREZ, ARIZ, RR, RNDR, RBD
Retail_Day_Step_Up%	ARE, AREI, AREZ, ARIZ, RR, RNDR, RBD
Sub_Dollar_AADV	A%Z%
Sub_Dollar_Add_%_Sub_$_ABC	A%Z%
Sub_Dollar_Retail_Day_Remove	RBDZ,RNRZ,RRZ
Tape_B_Adding%	A% (Tape B)
Tape_B_Adding%>$	A,AB,ADB,ADM,ADZ,AML,AND,ARE,AREI,ASB,AT (Tape B)
Tape_B_Adding_Percent_Step_Up	A% (Tape B)
Tape_B_Adding_Percent_Step_Up_>$	A,AB,ADB,ADM,ADZ,AML,AND,ARE,AREI,ASB,AT (Tape B)
Tape_C_Adding_%_ABC	A% (Tape C)
Tape_C_Adding_%_ABC_>$	A,AB,ADB,ADM,ADZ,AML,AND,ARE,AREI,ASB,AT (Tape C)
Tracking_AADV	AT

Note: "%"Is a wildcard card operator

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Tier Req't	Relevant Billing Indicator(s) for Requirement	Tier Req't	Relevant Billing Indicator(s) for Requirement
Closing_D_Order_ADV	C%D%		
Current_Month_Close	C%	SLP_B_Symbols_NBBO	NA
Current_Month_MOC	CM,CMR,CMZ	SLP_BC_Adding	A%
Current_Month_MOC_Mix	(CM,CMR,CMZ) / C%	SLP_BC_Symbols_NBBO	NA
DMM_Registration	NA	SLP_C_Adding	A%
FB_Affiliated_ADV	% (All entered/executed by floor broker)	SLP_C_Symbols_NBBO	NA
Floor_Broker_Mix	% (All entered/executed by floor broker)	SLP_Registration_First_Months	NA
MOC_LOC_Tier	T1,T2,T3	SLP_Tape_ABC_Setting	ASB,ASP,ASPZ
MPL_A_Adding	AML, AMZ	Tape_A_Adding	A%
MPL_ABC_Adding	AML, AMZ	Tape_A_Adding_Customer	A%
MPL_ABC_Adding_ADV	AML, AMZ	Tape_A_Adding_Customer_Multiple	A%
Non_Auction_Close_Early_ADV	CED	Tape_A_D_Order_Remove_ADV	RDA
Non_Auction_Close_Late_ADV	CLD	Tape_A_Floor_Adding	A%
Non_Auction_Close_Mid_ADV	CMD	Tape_A_MOCLOC	C,CR,CZ,CM,CMR,CMZ
Non_Display_ABC_Adding	AND, ANZ	Tape_A_Quouting_Symbols_15_Pct	NA
Non_Display_BC_Adding	AND, ANZ (Tape BC)	Tape_ABC_Adding	A%
Non_Display_MPL_ABC_Adding	AND, ANZ,AML,AMZ	Tape_ABC_Adding_Multiple	A%
Prior_3_Months_Close	C%	Tape_B_Adding	A%
Prior_3_Months_MOC	CM, CMR, CMZ	Tape_BC_Adding	A%
SLP_A_Adding	A%	Tape_C_Adding	A%
SLP_B_Adding	A%		

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Appendix E3: Relevant Liquidity Codes for Threshold Type - XCIS and XASE

THRESHOLD_TYPE	Relevant Billing Indicator(s) for Requirement - XCIS	Relevant Billing Indicator(s) for Requirement - XASE
AADV	A%	A%
Adding_%	A%	
AADV+RADV	A%, R%	
Adding+Removing%	A%, R%	
Removing_%	R%	

Appendix F: Available Equities Output Summary

Output	Available Markets	Available Subscriptions	Contents
NYSE Group Equity Client Tier Report	NYSE Arca Equities NYSE NYSE National NYSE American	Outputs will be made available for Entering Firms at Firm CRD level only.	This output provides a daily summary of month to date customer volumes in order to assist Firms in tracking/measuring their performance in order to meet the Equities billing tiering programs.

Appendix G: Document Version History

Date	Version Number	Change Summary
2/21/2025	2.0	ARCX Non Sub Dollar alternative tiers and requirements
5/10/2024	1.2	Second version: Added markets: NYSE Equities, NYSE National Equities, NYSE American Equities
11/17/2023	1.0	Initial version

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