



NYSE Group Equities Customer Tier Output Interface Requirement Specification

NYSE Arca Equities

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Document Version 1.0

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Introduction

This document outlines the NYSE Group Equity Customer 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 initial for NYSE Arca Equities, with tier reports for NYSE, NYSE National and NYSE American to follow.

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. Other NYSE Markets: Pending
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 NYSE-CustomerOutput@theice.com.

Customer Posting 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: NYSE Arca: 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

#	Field Name	Field Description	Format	Valid Value
3	TIER_NAME	Identifies the Tier based Fee schedule.	Varchar (40)	Valid Values: NYSE Arca: Base Step_Tier_1 Step_Tier_2 Tier_1 Tier_1A Tier_1A1 Tier_1A2 Tier_1B Tier_1B1 Tier_1B2 Tier_2 Tier_2A Tier_2B Tier_3 Tier_3A Tier_3B Tier_3B1 Tier_3B2 Tier_3B3 Tier_4 Tier_4A Tier_4B Tier_4B1 Tier_4B2 Tier_5 Tier_6
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

#	Field Name	Field Description	Format	Valid Value
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
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.	Integer (12,0)	If % CADV or ADV req't, = 000,000,000,000 If other requirement: blank

#	Field Name	Field Description	Format	Valid Value
		Calculated. Same for every client		
12	CADV_TYPE	Identifies the type of CADV	Varchar(20)	CADV types: A, B, C, ABC, Sub Dollar, 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
14 - 80	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 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.

Appendix A: Customer Posting 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_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)
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	

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_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)
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	

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_PRIORITY	STATUS	CONDITION	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	
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	

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

Column	Relevant Program	Add_Tier	Min_Ad d_Tier	Cross_Asse t_Tiers	Step_Up _Tiers	Retail _Tier s	MPL_Addi ng_Tiers	Non_Displ ay_Tiers	Tracki ng_Tie rs	Tape_B _Tiers	Tape_B_S tepUp_Ti ers	Tape_C _Tiers	Sub_Dolla r_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				

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		

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

Each market indicator

Column	Tier Rate	Relevant Billing Liquidity indicator(s) for NYSE Arca
14	DISPLAY_ADD_TAPE_A	A, AB, ASB
15	DISPLAY_ADD_TAPE_B	A, AB, ASB
16	DISPLAY_ADD_TAPE_C	A, AB, ASB
17	REMOVE_TAPE_A	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
18	REMOVE_TAPE_B	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
19	REMOVE_TAPE_C	R,RBD,RBI,RDB,RDM,RDZ,RI,RIR,RND,RNDR,RR
20	REMOVE_P_I_TAPE_A	RBN
21	REMOVE_P_I_TAPE_B	RBN
22	REMOVE_P_I_TAPE_C	RBN
23	MPL_A_TAPE_A	AML
24	MPL_B_TAPE_B	AML
25	MPL_C_TAPE_C	AML
26	NON_DISPLAY_TAPE_A	AND
27	NON_DISPLAY_TAPE_B	AND
28	NON_DISPLAY_TAPE_C	AND
29	ROUTE_REMOVE_TAPE_A	Multiple Indicators starting with X%
30	ROUTE_REMOVE_TAPE_B	Multiple Indicators starting with X%
31	ROUTE_REMOVE_TAPE_C	Multiple Indicators starting with X%
32	SETTER_INCREMENTAL_TAPE_A	NA
33	SETTER_INCREMENTAL_TAPE_B	NA
34	SETTER_INCREMENTAL_TAPE_C	NA
35	SLP_DISP_ADD_TAPE_A	NA
36	SLP_DISP_ADD_TAPE_B	NA
37	SLP_DISP_ADD_TAPE_C	NA
38	SLP_NON_DISP_TAPE_A	NA
39	SLP_NON_DISP_TAPE_B	NA
40	SLP_NON_DISP_TAPE_C	NA

Column	Tier Rate	Relevant Billing Liquidity indicator(s) for NYSE Arca
41	SLP_INCREMENTAL_CROSS_TAPE_TAPE_A	NA
42	SLP_INCREMENTAL_CROSS_TAPE_TAPE_B	NA
43	SLP_INCREMENTAL_CROSS_TAPE_TAPE_C	NA
44	FB_ADD_TAPE_A	NA
45	FB_ADD_TAPE_B	NA
46	FB_ADD_TAPE_C	NA
47	FB_DO_REMOVE_TAPE_A	NA
48	FB_DO_REMOVE_TAPE_B	NA
49	FB_DO_REMOVE_TAPE_C	NA
50	MOC_TAPE_A	CM
51	MOC_TAPE_B	CM
52	MOC_TAPE_C	CM
53	LOC_TAPE_A	C
54	LOC_TAPE_B	C
55	LOC_TAPE_C	C
56	MOC_INC_CRD_ADD_TIER_TAPE_A	NA
57	MOC_INC_CRD_ADD_TIER_TAPE_B	NA
58	MOC_INC_CRD_ADD_TIER_TAPE_C	NA
59	MOC_INC_CRD_FB_TIER_TAPE_A	NA
60	MOC_INC_CRD_FB_TIER_TAPE_B	NA
61	MOC_INC_CRD_FB_TIER_TAPE_C	NA
62	RETAIL_ADD_TAPE_A	ARE, AREI
63	RETAIL_ADD_TAPE_B	ARE, AREI
64	RETAIL_ADD_TAPE_C	ARE, AREI
65	RETAIL_DAY_REMOVE_TAPE_A	RR, RNDR, RBD
66	RETAIL_DAY_REMOVE_TAPE_B	RR, RNDR, RBD
67	RETAIL_DAY_REMOVE_TAPE_C	RR, RNDR, RBD

Column	Tier Rate	Relevant Billing Liquidity indicator(s) for NYSE Arca
68	TRACKING_TAPE_TAPE_A	AT
69	TRACKING_TAPE_TAPE_B	AT
70	TRACKING_TAPE_TAPE_C	AT
71	SUB_DOLLAR_ADD_TAPE_TAPE_A_PCT_VALUE	AZ, AMZ, ANZ,AREZ,ARIZ
72	SUB_DOLLAR_ADD_TAPE_TAPE_B_PCT_VALUE	AZ, AMZ, ANZ,AREZ,ARIZ
73	SUB_DOLLAR_ADD_TAPE_TAPE_C_PCT_VALUE	AZ, AMZ, ANZ,AREZ,ARIZ
74	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_A_PCT_VALUE	AREZ, ARIZ
75	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_B_PCT_VALUE	AREZ, ARIZ
76	SUB_DOLLAR_ADD_RETAIL_TAPE_TAPE_C_PCT_VALUE	AREZ, ARIZ
77	NON_DISPLAY_ADD_TAPE_A_INCREMENTAL	AND
78	NON_DISPLAY_ADD_TAPE_B_INCREMENTAL	AND
79	NON_DISPLAY_ADD_TAPE_C_INCREMENTAL	AND
80	TAPE_B_INCREMENTAL_CREDIT_TAPE_B	A, AB, ASB

Appendix D: Relevant Liquidity Codes for Threshold Type - ARCX

THRESHOLD_TYPE	Relevant Billing Indicator(s) for Requirement
AADV	A%
Adding_%	A%
Adding+Removing%	A%, R%
MPL_AADV	AML, AMZ
MPL_Add_%_All_Add	(AML, AMZ) / A%
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% (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%
Tape_B_Adding%	A% (Tape B)
Tape_B_Adding_Percent_Step_Up	A% (Tape B)
Tape_C_Adding_%_ABC	A% (Tape C)
Tracking_AADV	AT

Note: "%" is a wildcard card operator

Appendix E: Available Equities Output Summary

Output	Available Markets	Available Subscriptions	Contents
NYSE Group Equity Client Tier Report	NYSE Arca Equities NYSE (Future) NYSE National (Future) NYSE American (Future)	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 F: Document Version History

Date	Version Number	Change Summary
11/17/2023	1.0	Initial version