

Global OTC

Market Data Pricing

October 1, 2018



Global OTC is an Alternative Trading System (“ATS”) registered with the U.S. Securities and Exchange Commission (“SEC”) and operated by Archipelago Trading Service, Inc. (“ATSI”), a broker-dealer registered with the SEC and a member of the Financial Industry Regulatory Services, Inc. (“FINRA”). Although ATSI is a wholly-owned subsidiary of NYSE Group, Inc., Global OTC is not a stock exchange or self-regulatory organization. The OTC equity securities traded on Global OTC are not U.S. exchange listed securities.

1. Global OTC

Global OTC includes the following products:

- Global OTC BBO
- Global OTC Integrated

Description	Product Name	Rate	Product Code
Access Fee	GLOBAL OTC: ACCESS FEE	\$2,650	39074
Redistribution Fee	GLOBAL OTC: REDISTRIBUTION FEE	\$1,600	39076
Redistribution Fee Per Account	GLOBAL OTC: REDISTRIBUTION FEE PER ACCOUNT	\$425/firm	39093
Professional Device Fee	GLOBAL OTC: PRO DEVICE	\$55	39075
Professional Device Fee Indirect Bill	GLOBAL OTC: PRO DEVICE INDIRECT BILL	\$55	69009
Non Professional Device Fee	GLOBAL OTC: NON PRO DEVICE	\$1	39077
Enterprise Fee (for Broker/Dealers ONLY) Professional and Non Professional ²	GLOBAL OTC: ENTERPRISE FEE	\$10,000	39094
Non-Display Fee – Category 1	GLOBAL OTC: NON-DISPLAY CATEGORY 1	\$2,150	39089
Non-Display Fee – Category 2	GLOBAL OTC: NON-DISPLAY CATEGORY 2	\$2,150	39090
Non-Display Fee – Category 3 ¹	GLOBAL OTC: NON-DISPLAY CATEGORY 3	\$2,150	39091
Non-Display Fee – No Non-Display	GLOBAL OTC: NO NON-DISPLAY	\$0	39092
Global OTC BBO Data Feed	GLOBAL OTC BBO: DATAFEED	\$0	39083
Global OTC Integrated Data Feed	GLOBAL OTC INTEGRATED: DATAFEED	\$0	39078

2. Appendix

2.1. Non-Display Use Fees

Product	Category 1 (per month)	Category 2 (per month)	Category 3 (per month/ per platform ¹)
Global OTC	\$2,150	\$2,150	\$2,150

¹ The Non-Display fees for Category 3 will be charged on the first three (3) platforms declared.

2.2. General

- A flat fee per Market Data product per organization applies. Fees apply on an enterprise-wide basis to the organization, any of its holding companies and its subsidiaries. For the purposes of this section, a subsidiary means a company in which the user owns directly or indirectly 50% (fifty percent) or more of the issued share capital and over which it exercises effective control.
- Data recipients of US Equities, US Options and US Indices for Category 3 are required to declare their platform(s). Data recipients are liable for Non-Display fees for up to three (3) of the platforms declared.
- All fees set forth in this Non-Display Fee Schedule are in addition to access fees, license fees, user fees or other fees that are otherwise payable in respect of the applicable NYSE Market Data products in accordance with other NYSE Agreements, policies and/or price lists.
- Please refer to the NYSE Market Data Non-Display Use Policy for additional details on NonDisplay Use.