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# NYSE American Options Customer Posting Tier Output Interface Requirement Specification

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NYSE American Options

7/1/2024

Document Version 1.4

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## Background

This document outlines the Amex Options Customer Posting Tier report which contains month to date information on how a Firm is tracking to individual client Incentive programs as per current NYSE Amex Options fee schedule.

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### Naming Conventions and Formatting

1. Output files will be made available for secure pick-up via Managed File Transfer (MFT).
2. Output file will conform to the following standards:
  - a. All files will be comma delimited.
  - b. Files will not be sorted.
  - c. Headers will not be provided.
  - d. Files 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. AMXO\_CUST\_TIER\_POSTING\_EF\_<CRD#>\_<MFTID>\_YYYYMMDD\_Vx.dat.gz
4. Output file will be made available at start day on T+1 after 6 a.m.
5. 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.
6. After the migration timeframe has expired, customers will see only the latest version in their MFT folders.

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### Contact Information

Firms may request to subscribe to any of the outputs by contacting [NYSE-CustomerOutput@theice.com](mailto:NYSE-CustomerOutput@theice.com).

**Client Posting Tier Report Format**

**Report Record Format**

Report will contain both detail and Summary Sections utilizing the same record layout.

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

Summary section will consolidate detail programs and incentives to reflect the current max incentive achieved month to date.

#	Field Name	Field Description	Format	Valid Value
1	Trade Date	Trade date or report date	Date	Represented as: YYYYMMDD.
2	Program Name	Incentive Program or Summary Row Name	Varchar (400)	<b>Detail Lines:</b> ACE_RBT_SMPL ACE_RBT_CMPLX PROF_INCENTIVE_NONFIRM_PP PROF_INCENTIVE_NPP PROF_INCENTIVE_FIRM_PP CUBE_INIT_CRED_SMPL_PP CUBE_INIT_CRED_SMPL_NPP CUBE_INIT_CRED_CMPLX_PP CUBE_INIT_CRED_CMPLX_NPP CUBE_AON_INIT_CRED_PP CUBE_AON_INIT_CRED_NPP CUBE_ACE_AON_INIT_RBT_SMPL CUBE_ACE_AON_INIT_RBT_CMPLX CUBE_AON_INIT_FB_RBT_SMPL CUBE_AON_INIT_FB_RBT_CMPLX CUBE_ALT_INIT_RBT_CMPLX ALT_CUST_RBT_SMPL ALT_CUST_RBT_CMPLX CUBE_ACE_INIT_RBT_SMPL CUBE_ACE_INIT_RBT_CMPLX CMPLX_SURCHARGE CUST_INIT_BOLD_CRED

#	Field Name	Field Description	Format	Valid Value
				ACE_PRO_DISC_NPP  <b>Summary Lines:</b> ACE_RBT_SMPL_SUMMARY ACE_RBT_CMPLX_SUMMARY PROF_INCENT_NONFIRM_PP_SUMMARY PROF_INCENT_NPP_SUMMARY PROF_INCENT_FIRM_PP_SUMMARY CUBE_INIT_CRED_SMPL_PP_SUMMARY CUBE_INIT_CRED_SMPL_NPP_SUMMARY CUBE_INIT_CRED_CMPLX_PP_SUMMARY CUBE_INIT_CRED_CMPLX_NPP_SUMMARY CUBE_AON_INIT_CRED_PP_SUMMARY CUBE_AON_INIT_CRED_NPP_SUMMARY CUBE_ACE_AON_INIT_RBT_SMPL_SUMMARY CUBE_ACE_AON_INITRBT_CMPLX_SUMMARY CUBE_AON_INIT_FB_RBT_SMPL_SUMMARY CUBE_AON_INIT_FB_RBT_CMPLX_SUMMARY CUBE_ALT_INIT_RBT_CMPLX_SUMMARY ALT_CUST_RBT_SMPL_SUMMARY ALT_CUST_RBT_CMPLX_SUMMARY CUBE_ACE_INIT_RBT_SMPL_SUMMARY CUBE_ACE_INIT_RBT_CMPLX_SUMMARY CMPLX_SURCHARGE_SUMMARY CUST_INIT_BOLD_CRED_SUMMARY ACE_PRO_DISC_NPP_SUMMARY
3	Tier	<b>For Detail Rows:</b> Identifies the Tier based Fee schedule.  <b>For Summary Rows:</b> Always Null	Varchar (40)	Valid Values: BASE_RATE  TIER_1 TIER_1A TIER_1B TIER_1C TIER_2

#	Field Name	Field Description	Format	Valid Value
				TIER_3 TIER_3A TIER_3B1 TIER_3B2 TIER_4 TIER_4A TIER_4B1 TIER_4B2 TIER_5 TIER_5A TIER_5B1 TIER_5B2 TIER_6A TIER_6B TIER_A TIER_B TIER_C TIER_D TIER_E
4	Condition	<p><b>For Detail Rows:</b> Boolean condition that identifies whether multiple criteria must be met to achieve a Tier.</p> <p><b>For Summary Rows:</b> Always Null</p>	Varchar (40)	Blank, OR, AND
5	Tier Rate	Applicable rate for each program and tier type.	Decimal (22,2)	Dollar amount (including up to 2 decimal). Format = \$00000.00 (including \$).  Credits will be depicted in parenthesis. Fee's will not.
6	ACE Level Required	<p><b>For Detail Rows:</b> Indicator of ACE TIER Level Required to Achieve Tier Program.</p> <p><b>For Summary Rows:</b> Always Null</p>	Varchar (10)	For <b>Detail Rows</b> , applicable only to the following programs: ACE_RBT_CMLPX CUBE_INIT_CRED_CMLPX_PP CUBE_INIT_CRED_CMLPX_NPP

#	Field Name	Field Description	Format	Valid Value
				<p>CUBE_INIT_CRED_CMPLX_NPP</p> <p>CUBE_ACE_AON_INIT_RBT_CMPLX</p> <p>CUBE_ACE_INIT_RBT_SMPL</p> <p>CUBE_ACE_INIT_RBT_CMPLX</p> <p>CUST_INIT_BOLD_CRED</p> <p>ACE_PRO_DISC_NPP</p>
7	Required Threshold Volume	<p><b>For Detail Rows:</b> Calculated volume threshold to meet each Program and Tier type.</p> <p><b>For Summary Rows:</b> Always Null.</p>	Integer	<p>Calculated daily. Rounded to nearest integer (no decimals)</p> <p>Zero always displayed for Base_Rate.</p>
8	Client/Eligible Volume	<p><b>For Detail Rows:</b> Calculated Volume per Client across any Affiliations or Appointments if applicable.</p> <p><b>For Summary Rows:</b> Calculated as Eligible Billing Volume for Max Rate Achieved.</p>	Integer	<p>Calculated daily. Rounded to nearest integer (no decimals)</p> <p>Zero always displayed for Base_Rate Tier.</p> <p><b>For Detail Rows:</b> Indicates current calculated Client Volume to achieve a Tier Program.</p> <p><b>For Summary Rows:</b> Indicates Billable Volume. Will display zero's if tier or incentive not achieved.</p>
9	Total TCADV	<p><b>For Detail Rows:</b> Always Null</p> <p><b>For Summary Rows:</b> TCADV of Client Equity, ETF, and Options average daily volume.</p>	Integer	<p>Calculated daily and only populated in Summary Rows. Rounded to nearest integer (no decimals)</p> <p><b>Note:</b> Values will be the same for every Summary Row Program Type.</p>
10	ADV (Penny)	<p><b>For Detail Rows:</b> Always Null</p> <p><b>For Summary Rows:</b> Average daily Client Customer (CustorFrim = 0) Posting volume in penny program.</p>	Integer	<p>Calculated daily and only populated in Summary Rows. Rounded to nearest integer (no decimals)</p> <p><b>Note:</b> Values will be the same for every Summary Row Program Type.</p>

#	Field Name	Field Description	Format	Valid Value
11	ADV (Non-Penny)	<p><b>For Detail Rows:</b> Always Null</p> <p><b>For Summary Rows:</b> Average daily volume for Client Customer (CustorFirm = 0) Posting in non-penny program.</p>	Integer	<p>Calculated daily and only populated in Summary Rows. Rounded to nearest integer (no decimals)</p> <p><b>Note:</b> Values will be the same for every Summary Row Program Type.</p>

**Appendices**

Appendix A: Client Posting Report Sample Format

Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	ACE_RBT_SMPL	TIER_1		(\$0.12)/(\$0.13)*	Null	113,112	852,648	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_2		(\$0.14)/(\$0.15)*	Null	249,583	852,648	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_3A	OR	(\$0.17)/(\$0.20)*	Null	332,777	852,648	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_3B1	OR	(\$0.17)/(\$0.20)*	Null	499,165	1,622,752	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_3B2		(\$0.17)/(\$0.20)*	Null	499,165	1,622,752	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_4A	OR	(\$0.19)/(\$0.21)*	Null	415,971	852,648	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_4B1	OR	(\$0.19)/(\$0.21)*	Null	831,942	1,622,752	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_4B2		(\$0.19)/(\$0.21)*	Null	831,942	1,622,752	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_5A	OR	(\$0.21)/(\$0.23)*	Null	582,360	852,648	Null	Null	Null
20230415	ACE_RBT_SMPL	TIER_5B		(\$0.21)/(\$0.23)*	Null	1,164,718	1,622,752	Null	Null	Null
20230415	ACE_RBT_CMPLX	TIER_1		(\$0.19)/(\$0.19)*	Null	5000	5001	Null	Null	Null
20230415	ACE_RBT_CMPLX	TIER_2		(\$0.19)/(\$0.20)*	Null	6000	6459	Null	Null	Null
20230415	ACE_RBT_CMPLX	TIER_3A	OR	(\$0.19)/(\$0.20)*	Null	7500	8561	Null	Null	Null
20230415	ACE_RBT_CMPLX	TIER_3B1	OR	(\$0.19)/(\$0.20)*	Null	7500	7400	Null	Null	Null



Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	ACE_RBT_CMLX	TIER_3B2		(\$0.19)/(\$0.20)*	Null	7500	7400	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_4A	OR	(\$0.20)/(\$0.22)*	Null	5000	4999	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_4B1	OR	(\$0.20)/(\$0.22)*	Null	10000	9999	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_4B2		(\$0.20)/(\$0.22)*	Null	10000	9999	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_5A	OR	(\$0.22)/(\$0.24)*	Null	5000	6000	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_5B1	OR	(\$0.22)/(\$0.24)*	Null	10000	12000	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_5B2		(\$0.22)/(\$0.24)*	Null	10000	12000	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_6A		(\$0.25)/(\$0.25)*	TIER_4	0	0	Null	Null	Null
20230415	ACE_RBT_CMLX	TIER_6B		(\$0.25)/(\$0.25)*	Null	10000	13500	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	BASE_RATE		\$0.50	Null	0	0	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	TIER_A		\$0.35	Null	10000	7335	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	TIER_B		\$0.20	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	TIER_C		\$0.19	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	TIER_D		\$0.18	Null	20000	100	Null	Null	Null
20230415	PROF_INCENTIVE_NONFIRM_PP	TIER_E		\$0.17	Null	20000	100	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	BASE_RATE		\$0.85	Null	0	0	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	TIER_A		\$0.65	Null	10000	7335	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	TIER_B		\$0.55	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	TIER_C		\$0.54	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	TIER_D		\$0.53	Null	20000	100	Null	Null	Null
20230415	PROF_INCENTIVE_NPP	TIER_E		\$0.52	Null	20000	100	Null	Null	Null
20230415	PROF_INCENTIVE_FIRM_PP	BASE_RATE		\$0.49	Null	0	0	Null	Null	Null
20230415	PROF_INCENTIVE_FIRM_PP	TIER_A		\$0.35	Null	10000	7335	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	PROF_INCENTIVE_FIRM_PP	TIER_B		\$0.20	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_FIRM_PP	TIER_C		\$0.19	Null	15000	20	Null	Null	Null
20230415	PROF_INCENTIVE_FIRM_PP	TIER_D		\$0.18	Null	20000	100	Null	Null	Null
20230415	PROF_INCENTIVE_FIRM_PP	TIER_E		\$0.17	Null	20000	100	Null	Null	Null
20230415	CUBE_INIT_CRED_SMPL_PP	TIER_1		(\$0.26)	Null	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_SMPL_PP	TIER_2		(\$0.30)	Null	9500	7236	Null	Null	Null
20230415	CUBE_INIT_CRED_SMPL_NPP	TIER_1		(\$0.65)	Null	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_SMPL_NPP	TIER_1		(\$0.70)	Null	9500	7336	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_1		(\$0.20)	TIER_1	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_2		(\$0.23)	TIER_2	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_3		(\$0.26)	TIER_3	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_4		(\$0.28)	TIER_4	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_5		(\$0.35)	TIER_5	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_6A	AND	(\$0.38)	TIER_5	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_PP	TIER_6B		(\$0.38)	Null	8000	17500	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_1		(\$0.50)	TIER_1	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_2		(\$0.55)	TIER_2	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_3		(\$0.60)	TIER_3	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_4		(\$0.65)	TIER_4	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_5		(\$0.75)	TIER_5	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_6A	AND	(\$0.80)	TIER_5	0	0	Null	Null	Null
20230415	CUBE_INIT_CRED_CMPLX_NPP	TIER_6B		(\$0.80)	Null	23000	24000	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	CUBE_AON_INIT_CRED_PP	TIER_1		(\$0.30)	Null	0	0	Null	Null	Null
20230415	CUBE_AON_INIT_CRED_NPP	TIER_1		(\$0.70)	Null	0	0	Null	Null	Null
20230415	CUBE_ACE_AON_INIT_RBT_SMPL	TIER_1		(\$0.12)	TIER_1	0	0	Null	Null	Null
20230415	CUBE_ACE_AON_INIT_RBT_CMLPX	TIER_1		(\$0.12)	TIER_1	0	0	Null	Null	Null
20230415	CUBE_AON_INIT_FB_RBT_SMPL	TIER_1		(\$0.12)	Null	2500	2499	Null	Null	Null
20230415	CUBE_AON_INIT_FB_RBT_CMLPX	TIER_1		(\$0.12)	Null	2500	11122	Null	Null	Null
20230415	CUBE_ALT_INIT_RBT_SMPL	TIER_1A	AND	(\$0.10)	Null	5000	6250	Null	Null	Null
20230415	CUBE_ALT_INIT_RBT_SMPL	TIER_1B		(\$0.10)	Null	123456	11122	Null	Null	Null
20230415	CUBE_ALT_INIT_RBT_CMLPX	TIER_1A	AND	(\$0.10)	Null	10000	11122	Null	Null	Null
20230415	CUBE_ALT_INIT_RBT_CMLPX	TIER_1B	AND	(\$0.10)	Null	123456	11122	Null	Null	Null
20230415	CUBE_ALT_INIT_RBT_CMLPX	TIER_1C		(\$0.10)	Null	123456	11122	Null	Null	Null
20230415	ALT_CUST_RBT_CMLPX	TIER_1A	AND	(\$0.10)	Null	10000	11122	Null	Null	Null
20230415	ALT_CUST_RBT_CMLPX	TIER_1B	AND	(\$0.10)	Null	123456	11122	Null	Null	Null
20230415	ALT_CUST_RBT_CMLPX	TIER_1C		(\$0.10)	Null	123456	11122	Null	Null	Null
20230415	CUBE_ACE_INIT_RBT_SMPL	TIER_1		(\$0.05)	TIER_1	0	0	Null	Null	Null
20230415	CUBE_ACE_INIT_RBT_SMPL	TIER_2		(\$0.12)	TIER_4	0	0	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	CUBE_ACE_INIT_RBT_CMPLX	TIER_1		(\$0.10)	TIER_1	0	0	Null	Null	Null
20230415	CMPLX_SURCHARGE	TIER_1		\$0.10	Null	15000	17500	Null	Null	Null
20230415	CUST_INIT_BOLD_CRED	TIER_1A	OR	(\$0.13)	TIER_1	0	0	Null	Null	Null
20230415	CUST_INIT_BOLD_CRED	TIER_1B		(\$0.13)	TIER_2	0	0	Null	Null	Null
20230415	ACE_PRO_DISC_NPP	BASE_RATE		\$0.85	Null	0	0	Null	Null	Null
20230415	ACE_PRO_DISC_NPP	TIER_1		\$0.80	TIER_3	0	0	Null	Null	Null
	<b>SUMMARY PROGRAMS</b>									
20230415	ACE_RBT_SMPL_SUMMARY	Null	Null	(\$0.23)	TIER_5B	Null	Null	99999	99999	99999
20230415	ACE_RBT_CMPLX_SUMMARY	Null	Null	(\$0.19)	TIER_1	Null	Null	99999	99999	99999
20230415	PROF_INCENT_NONFIRM_PP_SUMMARY	Null	Null	\$0.20	Null	Null	Null	99999	99999	99999
20230415	PROF_INCENT_NPP_SUMMARY	Null	Null	\$0.55	Null	Null	Null	99999	99999	99999
20230415	PROF_INCENT_FIRM_PP_SUMMARY	Null	Null	\$0.35	Null	Null	Null	99999	99999	99999
20230415	CUBE_INIT_CRED_SMPL_PP_SUMMARY	Null	Null	(\$0.30)	Null	Null	Null	99999	99999	99999
20230415	CUBE_INIT_CRED_SMPL_NPP_SUMMARY	Null	Null	(\$0.70)	Null	Null	Null	99999	99999	99999
20230415	CUBE_INIT_CRED_CMPLX_PP_SUMMARY	Null	Null	(\$0.23)	Null	Null	Null	99999	99999	99999
20230415	CUBE_INIT_CRED_CMPLX_NPP_SUMMARY	Null	Null	(\$0.50)	Null	Null	Null	99999	99999	99999
20230415	CUBE_AON_INIT_CRED_PP_SUMMARY	Null	Null	(\$0.30)	Null	Null	Null	99999	99999	99999
20230415	CUBE_AON_INIT_CRED_NPP_SUMMARY	Null	Null	(\$0.70)	Null	Null	Null	99999	99999	99999

Trade Date	Program Name	Tier Name	Condition	Tier Rate	ACE Level Required	Req Threshold Volume	Client Threshold Volume	Total TCADV	ADV Penny	ADV Non-Penny
20230415	CUBE_ACE_AON_INIT_RBT_SMPL_SUMMARY	Null	Null	(\$0.12)	Null	Null	Null	99999	99999	99999
20230415	CUBE_ACE_AON_INITRBT_CMPLX_SUMMARY	Null	Null	(\$0.12)	Null	Null	Null	99999	99999	99999
20230415	CUBE_AON_INIT_FB_RBT_SMPL_SUMMARY	Null	Null	(\$0.12)	Null	Null	Null	99999	99999	99999
20230415	CUBE_AON_INIT_FB_RBT_CMPLX_SUMMARY	Null	Null	(\$0.12)	Null	Null	Null	99999	99999	99999
20230415	CUBE_ALT_INIT_RBT_CMPLX_SUMMARY	Null	Null	(\$0.10)	Null	Null	Null	99999	99999	99999
20230415	CMPLX_SURCHARGE_SUMMARY	Null	Null	\$0.10	Null	Null	Null	99999	99999	99999
20230415	CUST_INIT_BOLD_CRED_SUMMARY	Null	Null	(\$0.13)	Null	Null	Null	99999	99999	99999
20230415	ACE_PRO_DISC_NPP_SUMMARY	Null	Null	\$0.80	Null	Null	Null	99999	99999	99999

Appendix B: Available Options Output Summary

#	Output	Available Markets	Available Subscriptions	Contents
1	NYSE Options Execution Report Output	NYSE Arca Options NYSE American Options	Outputs will be made available for one or more MPID's for Entering Firms, one or more clearing numbers for Clearing Firms, by Broker Firm MPID or by MMID for Market Making Firms.	This execution report output summarizes all report allocations, including reversals and corrections, executed at the NYSE or at an away market. Any corrected trades performed on a T+N basis will be included for the trading day in which the correction occurred.
2	NYSE Options GTC Order Report Output	NYSE Arca Options NYSE American Options	Outputs will be made available for one or more MPID's for Entering Firms only.	This order output includes all GTC orders at the end of the day that will carry over to the next day trading. This file will not include GTC orders expiring on account of Series expiration at the end of the trading day.  Note: This file is produced before the nightly corporate action process and therefore may include GTC orders that

#	Output	Available Markets	Available Subscriptions	Contents
				are set to be canceled overnight on account of a corporate action.
3	NYSE Options Risk Report Output	NYSE Arca Options NYSE American Options	Outputs will be made available for one or more MPID's for Entering Firms, one or more clearing numbers for Clearing Firms, or by MMID for Market Making Firms.	This output includes information on risk controls including firm defined pre-set risk thresholds, breaches and any associated actions taken to resolve such as blocking of new orders, or order cancelations.
4	NYSE Options Gateway Metric Report	NYSE Arca Options NYSE American Options	Outputs will be made available for Entering Firms at Firm CRD level only.	This output summarizes daily Options Gateway performance at end of day.
5	NYSE Options Unified Market Maker Report	NYSE Arca Options NYSE American Options	Outputs will be made available for either a single MMID or Market Maker Firm CRD level.	This output provides Market Makers with a daily, month to date or quarterly view (NYSE American Options only) of Market Maker performance.  As part of this output, Market Makers may also subscribe to a daily list of all active symbols currently subscribed to as a Market Maker.
6	ARCA Options Customer Posting Tier Report	NYSE Arca Options	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 for a Firm to track/measure how they are performing in order to meet the customer billing tiering programs.
7	ARCA Options Market Maker Posting Tier Report	NYSE Arca Options	Outputs will be made available for Market Maker level at Firm CRD level only.	This output provides a daily summary of month-to-date Market Maker eligible volumes against Market Maker thresholds for achieving monthly tiers for posting credits and take discounts.
8	ARCA Options Customer CAP Report	NYSE Arca Options	Outputs will be made available for Entering Firms at Firm CRD level only.	This output is generated daily and provides customers with month to date information on how a Firm MPID is tracking towards their fee cap per month on combined Firm Proprietary Fees and Broker Dealer Fees.
9	NYSE Options Firm Executive Volume Summary Report	NYSE Arca Options NYSE American Options	Outputs will be made available for at Firm CRD level only.	This output is produced monthly, on the first business day of the month, and provides a volume summary over a rolling 13-month time window.  Customers have 3 different summary reports that can be subscribed to with varying levels of summary data.
10	NYSE Options Market Maker Rank Report	NYSE Arca Options NYSE American Options	Outputs will be made available for at MM Firm CRD level only.	This output is generated daily and provides month to date (ARCA) or quarter to date (AMEX) information and allows MM Firm to evaluate their

#	Output	Available Markets	Available Subscriptions	Contents
				performance against their peers by Symbol daily.
11	AMEX Options Customer Posting Tier Report	NYSE American Options	Outputs will be made available for Firms at Firm CRD level only.	This output provides a daily summary of month to date customer volumes in order for a Firm to track/measure how they are performing in order to meet the customer billing tiering programs.
12	AMEX Options Market Maker Posting Tier Report (Sliding Scale)	NYSE American Options	Outputs will be made available for Market Maker level at Firm CRD level only.	This output provides a daily summary of month-to-date Market Maker eligible volumes against Market Maker thresholds for achieving monthly tiers Sliding Scale program.
13	AMEX Options Customer CAP Report	NYSE American Options	Outputs will be made available for Firms at Firm CRD level only.	This output is generated daily and provides customers with month to date information on how a Firm MPID is tracking towards their fee cap per month on combined Firm Proprietary Fees and Broker Dealer Fees.
14	NYSE American Options MTD CUBE Volume Summary Report	NYSE American Options	Outputs will be made available for any firm and provides exchange wide stats.	This output is generated daily and provides daily and month to date exchange wide CUBE order stats and volumes at the Underlying Symbol level.
15	NYSE Options Electronic and Outcry Volume Report	NYSE Arca Options NYSE American Options	Outputs will be made available for any firm and provides exchange wide stats.	This output is generated daily and provides daily and month to date exchange wide electronic and outcry trade stats and volumes at the Underlying Symbol level.
16	NYSE Options Complex Volume Summary Report	NYSE Arca Options NYSE American Options	Outputs will be made available for any firm and provides exchange wide stats.	This output is generated daily and provides daily exchange wide Complex volumes, Orders and Series stats at the Underlying Symbol level.
17	NYSE Start of day Session Config Output.	All Equities & Options Markets	Available at CRD level only.	Contains Start of day session level preferences/defaults configured by the customers for their sessions.

## Appendix C: Document Version History

Date	Version Number	Change Summary
7/1/2024	1.4	Removed CUBE_ALT_INIT_RBT_SMPL program. Added Tier_2 for CUBE_ACE_INIT_RBT_SMPL program.
3/14/2024	1.3	Replaced Professional Step-Up program with new Professional Volume Incentive program. <ul style="list-style-type: none"> <li>- Rename all 3 detail programs: <ul style="list-style-type: none"> <li>o PROF_INCENTIVE_NONFIRM_PP</li> <li>o PROF_INCENTIVE_NPP</li> <li>o PROF_INCENTIVE_FIRM_PP</li> </ul> </li> <li>- Add Tiers D &amp; E</li> <li>- Rename all 3 summary programs: <ul style="list-style-type: none"> <li>o PROF_INCENT_NONFIRM_PP_SUMMARY</li> <li>o PROF_INCENT_NPP_SUMMARY</li> <li>o PROF_INCENT_FIRM_PP_SUMMARY</li> </ul> </li> </ul>
12/1/2023	1.2	Updated Copyright Information
9/11/2023	1.1	Removed Tier A2 & B2 from Prof Step Up Separated ACE_RBT from ALT_CUST_RBT (Simple & Complex) Separated CUBE_ALT_INIT_RBT from CUBE_ACE_INIT_RBT (Simple and Complex).
6/20/2023	1.0	Initial Draft