



NYSE ARCA Options Customer Posting Tier Output Interface Requirement Specification

NYSE Arca Options

7/1/2024

Document Version 1.6

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Background

This document outlines the Arca Customer Posting Tier and Discount Take Fee report which contains month to date information on how a Firm is tracking to individual customer Incentive programs as per current NYSE Arca Options fee schedule.

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. <Market>_<Output Name>_<Type>_<FilterType>_<MFTID>_YYYYMMDD_Vx.dat.gz
 - i. ARCO_CUST_TIER_POSTING_EF_<CRD#>_<MFTID>_YYYYMMDD_Vx.dat.gz
4. Output file will be made available at start day on T+1 after 5 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

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 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 Name	Varchar (400)	<p>Detail Rows:</p> <p>CUSTOMER_PENNY_POST PRO_CUST_PENNY_POST CUSTOMER_PROF_INCENTIVE CUSTOMER_NONPP_POST PROF_CUSTOMER_NONPP_POST FIRM_BD_NPP_NC_POST_DISC FIRMBD_PP_INCENTIVE NON_CUST_COMPLEX_SURCHARGE CUST_COMPLEX_CREDIT_PENNY CUST_COMPLEX_CREDIT_NONPP CUST_DISCOUNT_TAKE_FEE_PP CUST_DISCOUNT_TAKE_FEE_NPP</p> <p>Summary Rows:</p> <p>CUSTOMER_PENNY_POST_SUMMARY PRO_CUST_PENNY_POST_SUMMARY CUSTOMER_NONPP_POST_SUMMARY PROF_CUSTOMER_NONPP_POST_SUMMARY FIRM_BD_NPP_NC_POST_DISC_SUMMARY FIRM_BD_PP_POST_SUMMARY NON_CUST_COMPLEX_SURCHARGE_SUMMARY CUST_COMPLEX_CREDIT_PENNY_SUMMARY CUST_COMPLEX_CREDIT_NONPP_SUMMARY CUST_DISCOUNT_TAKE_FEE_PP_SUMMARY CUST_DISCOUNT_TAKE_FEE_NPP_SUMMARY</p>
3	Tier Name	Identifies the Tier based Fee schedule.	Varchar (40)	<p>Valid Values:</p> <p>BASE_RATE TIER_1</p>

#	Field Name	Field Description	Format	Valid Value
				TIER_1A TIER_1B TIER_2 TIER_2A TIER_2B TIER_2B1 TIER_2B2 TIER_3 TIER_3A TIER_3B TIER_4 TIER_4A TIER_4B1 TIER_4B2 TIER_5A TIER_5B TIER_6A TIER_6B1 TIER_6B2 TIER_A TIER_A1 TIER_A2 TIER_B1 TIER_B2 TIER_C1 TIER_C2 TIER_D1 TIER_D2 TIER_E TIER_F1A TIER_F1B TIER_F2A TIER_F2B Note: For Summary Rows, Tier Name will be null.
4	Condition	Boolean condition that identifies whether multiple criteria must be met to achieve a Tier.	Varchar(40)	Blank OR AND Note: For Summary Rows, Condition field will be null.
5	Tier Rate	Applicable rate for each program and tier type.	Decimal (22,2)	Dollar amount (including decimal). Format = \$00000.00 (including \$). Credits will be depicted in parenthesis. Fee's will not.

#	Field Name	Field Description	Format	Valid Value
6	Threshold	Calculated volume threshold to meet each Program type.	Integer	Calculated daily. Note: For Base Rate threshold value will be null. Note: For Summary Rows, Threshold value will be null.
7	Volume	Calculated customer volume per Firm.	Integer	Calculated daily. Note: For Summary Rows, Client Volume value will be null.
8	Total TCADV	TCADV of Customer Equity, ETF, and Options average daily volume.	Integer	Calculated daily and only populated in Summary Rows. Note: Values will be the same for every Summary Row Program Type.
9	ADV (Penny)	Average daily Customer volume in penny program.	Integer	Calculated daily and only populated in Summary Rows. Applicable to Summary Rows only. All others will be null.
10	ADV (Non-Penny)	Average daily volume for customer in non-penny program.	Integer	Calculated daily and only populated in Summary Rows. Applicable to Summary Rows only. All others will be null.

Appendices

Appendix A: Customer Posting Report Sample Format

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
DETAIL ROWS									
20240109	CUSTOMER_PENNY_POST	BASE_RATE		(\$0.25)	0	250	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_1A	AND	(\$0.36)	32866	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_1B		(\$0.36)	32866	1009811	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
20240109	CUSTOMER_PENNY_POST	TIER_2A	OR	(\$0.43)	98597	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_2B		(\$0.43)	49299	1004430	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_3		(\$0.45)	131463	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_4A	OR	(\$0.47)	246493	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_4B1	AND	(\$0.47)	98597	974362	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_4B2		(\$0.47)	59662005	1262564	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_5A	AND	(\$0.49)	246493	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_5B		(\$0.49)	197194	779617	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_6A	OR	(\$0.50)	427254	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_6B1	AND	(\$0.50)	328657	1009811	Null	Null	Null
20240109	CUSTOMER_PENNY_POST	TIER_6B2		(\$0.50)	29831002	1262564	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	BASE_RATE		(\$0.25)	0	250	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_1A	AND	(\$0.36)	32866	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_1B		(\$0.36)	32866	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_2A	OR	(\$0.43)	98597	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_2B		(\$0.43)	49299	1004430	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_3		(\$0.45)	131463	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_4A	OR	(\$0.47)	246493	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_4B1	AND	(\$0.47)	98597	974362	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_4B2		(\$0.47)	59662005	1262564	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_5A	AND	(\$0.49)	246493	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_5B		(\$0.49)	197194	779617	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_6A	OR	(\$0.50)	427254	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_6B1	AND	(\$0.50)	328657	1009811	Null	Null	Null
20240109	PRO_CUST_PENNY_POST	TIER_6B2		(\$0.50)	29831002	1262564	Null	Null	Null
20240109	CUSTOMER_PROF_INCENTIVE	TIER_1		(\$0.03)	262925	1009811	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
20240109	CUSTOMER_PROF_INCENTIVE	TIER_2A	AND	(\$0.03)	197194	779617	Null	Null	Null
20240109	CUSTOMER_PROF_INCENTIVE	TIER_2B		(\$0.03)	32866	223674	Null	Null	Null
20240109	CUSTOMER_PROF_INCENTIVE	TIER_3A	AND	(\$0.03)	98597	974362	Null	Null	Null
20240109	CUSTOMER_PROF_INCENTIVE	TIER_3B		(\$0.03)	59662005	1262564	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	BASE_RATE		(\$0.75)	0	250	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_A	OR	(\$0.85)	262925	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_A1	AND	(\$0.85)	49299	101	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_A2		(\$0.85)	32866	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_B1	AND	(\$0.95)	262925	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_B2		(\$0.95)	32866	223674	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_C1	AND	(\$0.97)	98597	974362	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_C2		(\$0.97)	59662005	1262564	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_D1	AND	(\$1.00)	246493	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_D2		(\$1.00)	197194	779617	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_E		(\$1.01)	492985	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_F1A	AND	(\$1.02)	328657	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_F1B		(\$1.02)	29831002	1262564	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_F2A	AND	(\$1.02)	657314	1009811	Null	Null	Null
20240109	CUSTOMER_NONPP_POST	TIER_F2B		(\$1.02)	657314	972682	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	BASE_RATE		(\$0.75)	0	250	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_A	OR	(\$0.85)	262925	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_A1	AND	(\$0.85)	49299	101	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_A2		(\$0.85)	32866	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_B1	AND	(\$0.95)	262925	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_B2		(\$0.95)	32866	223674	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_C1	AND	(\$0.97)	98597	974362	Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
20240109	PROF_CUSTOMER_NONPP_POST	TIER_C2		(\$0.97)	59662005	1262564	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_D1	AND	(\$1.00)	246493	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_D2		(\$1.00)	197194	779617	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_E		(\$1.01)	492985	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_F1A	AND	(\$1.02)	328657	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_F1B		(\$1.02)	29831002	1262564	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_F2A	AND	(\$1.02)	657314	1009811	Null	Null	Null
20240109	PROF_CUSTOMER_NONPP_POST	TIER_F2B		(\$1.02)	657314	972682	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	BASE_RATE		\$0.50	0	250	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_1		(\$0.32)	16433	3806	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_2		(\$0.52)	32866	3806	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_3	OR	(\$0.62)	49299	3806	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_3A	AND	(\$0.62)	49299	101	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_3B		(\$0.62)	32866	1009811	Null	Null	Null
20240109	FIRM_BD_NPP_NC_POST_DISC	TIER_4		(\$0.82)	82164	3806	Null	Null	Null
20240109	FIRM_BD_PP_POST	BASE_RATE		(\$0.10)	0	250	Null	Null	Null
20240109	FIRM_BD_PP_POST	TIER_1		(\$0.25)	49299	101	Null	Null	Null
20240109	FIRM_BD_PP_POST	TIER_2		(\$0.35)	98597	101	Null	Null	Null
20240109	FIRMBD_PP_INCENTIVE	TIER_1		(\$0.03)	12511497	320058	Null	Null	Null
20240109	FIRMBD_PP_INCENTIVE	TIER_2A	AND	(\$0.05)	279358	320058	Null	Null	Null
20240109	FIRMBD_PP_INCENTIVE	TIER_2B		(\$0.05)	197194	101	Null	Null	Null
20240109	NON_CUST_COMPLEX_SURCHARGE	BASE_RATE		\$0.12	0	Actual Client Volume	Null	Null	Null
20240109	NON_CUST_COMPLEX_SURCHARGE	TIER_1		\$0.07			Null	Null	Null
20240109	NON_CUST_COMPLEX_SURCHARGE	TIER_2A	OR	\$0.05			Null	Null	Null
20240109	NON_CUST_COMPLEX_SURCHARGE	TIER_2B		\$0.05			Null	Null	Null

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
20240109	CUST_COMPLEX_CREDIT_PENNY	BASE_RATE		(\$0.39)	0		Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_1		(\$0.41)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_2A	OR	(\$0.44)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_2B1	AND	(\$0.44)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_2B2		(\$0.44)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_3		(\$0.49)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_PENNY	TIER_4		(\$0.50)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	BASE_RATE		(\$0.75)	0		Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_1		(\$0.77)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_2A	OR	(\$0.80)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_2B1	AND	(\$0.80)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_2B2		(\$0.80)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_3		(\$0.85)			Null	Null	Null
20240109	CUST_COMPLEX_CREDIT_NONPP	TIER_4		(\$0.90)			Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_PP	BASE_RATE		\$0.49	0		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_PP	TIER_1		(\$0.01)	15000		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_PP	TIER_2A	AND	(\$0.02)	18500		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_PP	TIER_2B		(\$0.02)	14500		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_NPP	BASE_RATE		\$0.85	0		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_NPP	TIER_1		(\$0.01)	15000		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_NPP	TIER_2A	AND	(\$0.02)	18500		Null	Null	Null
20240109	CUST_DISCOUNT_TAKE_FEE_NPP	TIER_2B		(\$0.02)	14500		Null	Null	Null
	SUMMARY ROWS								
20220418	CUSTOMER_PENNY_POST_SUMMARY	Null	Null	(\$0.53)	Null	Null	32865678	1005398	486801
20220418	PRO_CUST_PENNY_POST_SUMMARY	Null	Null	(\$0.49)*	Null	Null	32865678	1005398	486801
20220418	CUSTOMER_NONPP_POST_SUMMARY	Null	Null	(\$1.05)	Null	Null	32865678	1005398	486801

Trade Date	Program Name	Tier Name	Condition	Tier Rate	Threshold	Volume	Total TCADV	ADV (Penny)	ADV (Non-Penny)
20220418	PROF_CUSTOMER_NONPP_POST_SUMMARY	Null	Null	(\$1.00)*	Null	Null	32865678	1005398	486801
20220418	FIRM_BD_NPP_NC_POST_DISC_SUMMARY	Null	Null	(\$0.32)	Null	Null	32865678	1005398	486801
20220418	FIRM_BD_PP_POST_SUMMARY	Null	Null	(\$0.13)	Null	Null	32865678	1005398	486801
20220418	NON_CUST_COMPLEX_SURCHARGE_SUMMARY	Null	Null	\$0.12	Null	Null	32865678	1005398	486801
20220418	CUST_COMPLEX_CREDIT_PENNY_SUMMARY	Null	Null	(\$0.39)	Null	Null	32865678	1005398	486801
20220418	CUST_COMPLEX_CREDIT_NONPP_SUMMARY	Null	Null	(\$0.75)	Null	Null	32865678	1005398	486801
20240109	CUST_DISCOUNT_TAKE_FEE_PP_SUMMARY	Null	Null	(\$0.01)	Null	Null	32865678	1005398	486801
20240109	CUST_DISCOUNT_TAKE_FEE_NPP_SUMMARY	Null	Null	(\$0.01)	Null	Null	32865678	1005398	486801

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.

#	Output	Available Markets	Available Subscriptions	Contents
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 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.

#	Output	Available Markets	Available Subscriptions	Contents
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 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	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

#	Output	Available Markets	Available Subscriptions	Contents
	Outcry Volume Report			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	1.6	Revised NONCUST_NONPP_POST to FIRM_BD_NPP_NC_POST_DISC to separate Client vs. MM programs and rates.
1/9/2024	1.5	Updates included to support new Customer Discount Take Fee Programs. <ul style="list-style-type: none"> - Detail & Summary Programs - Appendix A Remove Obsolete TIER_1B from CUSTOMER_PROF_INCENTIVE program. Renamed TIER_1A to TIER_1.
12/1/2023	1.4	Updated Copyright Information
3/13/2023	1.3	Updated Appendix A: Customer Posting Sample Output <ul style="list-style-type: none"> - Separated TIER_1 of Customer Posting and Professional Customer Posting Programs into two tiers: TIER_1A and TIER_1B to better manage whether a Tier has been achieved.

Date	Version Number	Change Summary																					
7/1/2022	1.2	Updated format of following fields <table border="1" data-bbox="708 289 1435 856"> <thead> <tr> <th data-bbox="708 289 881 338">Field</th> <th data-bbox="885 289 1073 338">Current Value</th> <th data-bbox="1076 289 1435 338">Updated value</th> </tr> </thead> <tbody> <tr> <td data-bbox="708 342 881 390">Tier Rate</td> <td data-bbox="885 342 1073 390">Decimal (22,6)</td> <td data-bbox="1076 342 1435 390">Decimal (22,2)</td> </tr> <tr> <td data-bbox="708 394 881 443">Threshold</td> <td data-bbox="885 394 1073 443">Decimal (22,6)</td> <td data-bbox="1076 394 1435 443">Integer</td> </tr> <tr> <td data-bbox="708 447 881 495">Volume</td> <td data-bbox="885 447 1073 495">Decimal (22,6)</td> <td data-bbox="1076 447 1435 495">Integer</td> </tr> <tr> <td data-bbox="708 499 881 548">Total TCADV</td> <td data-bbox="885 499 1073 548">Decimal (22,6)</td> <td data-bbox="1076 499 1435 548">Integer</td> </tr> <tr> <td data-bbox="708 552 881 600">ADV (Penny)</td> <td data-bbox="885 552 1073 600">Decimal (22,6)</td> <td data-bbox="1076 552 1435 600">Integer</td> </tr> <tr> <td data-bbox="708 604 881 653">ADV (Non-Penny)</td> <td data-bbox="885 604 1073 653">Decimal (22,6)</td> <td data-bbox="1076 604 1435 653">Integer</td> </tr> </tbody> </table>	Field	Current Value	Updated value	Tier Rate	Decimal (22,6)	Decimal (22,2)	Threshold	Decimal (22,6)	Integer	Volume	Decimal (22,6)	Integer	Total TCADV	Decimal (22,6)	Integer	ADV (Penny)	Decimal (22,6)	Integer	ADV (Non-Penny)	Decimal (22,6)	Integer
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4/18/2022	1.1	Support new Complex Detail and Summary Pricing Programs: NON_CUST_COMPLEX_SURCHARGE CUST_COMPLEX_CREDIT_PENNY CUST_COMPLEX_CREDIT_NONPP NON_CUST_COMPLEX_SURCHARGE_SUMMARY CUST_COMPLEX_CREDIT_PENNY_SUMMARY CUST_COMPLEX_CREDIT_NONPP_SUMMARY																					
12/7/2021	1.0	Initial publication																					