



SUPPLEMENT OPTION EXCHANGE TIER REPORT 2023 Q1 - Q4

Product	Month	Exchange	Tier Name	SR Rate	Tier Level	Note
Option	2023-01	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-01	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-01	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 3	
Option	2023-02	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-02	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-02	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 3	
Option	2023-03	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-03	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-03	Nasdaq	Cust Penny Add tier	(0.3200)	Tier 4	
Option	2023-04	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-04	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-04	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 4	
Option	2023-05	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-05	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-05	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 4	
Option	2023-06	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-06	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-06	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 4	
Option	2023-07	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-07	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-07	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 3	
Option	2023-08	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-08	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 2	
Option	2023-08	Nasdaq	Cust Penny Add tier	(0.3150)	Tier 3	
Option	2023-09	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-09	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 3	
Option	2023-09	Nasdaq	Cust Penny Add tier	(0.3350)	Tier 6	
Option	2023-10	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-10	Nasdaq	Cust NonPenny Add tier	(0.9000)	Tier 3	
Option	2023-10	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 3	
Option	2023-10	Nasdaq	Cust Penny Add tier	(0.3350)	Tier 6	
Option	2023-11	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-11	Nasdaq	Cust NonPenny Add tier	(0.9000)	Tier 3	
Option	2023-11	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 3	
Option	2023-11	Nasdaq	Cust Penny Add tier	(0.3350)	Tier 6	
Option	2023-12	ARCA	Cust and Procust Add tier Penny	(0.4300)	Tier 2	
Option	2023-12	Nasdaq	Cust NonPenny Add tier	(0.9000)	Tier 3	
Option	2023-12	Nasdaq	Cust NonPenny Add tier	(0.8500)	Tier 3	
Option	2023-12	Nasdaq	Cust Penny Add tier	(0.3350)	Tier 6	