FINRA Trading Activity Fee Self-Reporting Form

Firm Name _____

Mailing Address ☐ Check If New Address _____

_____

B/D# _____ Clearing# _____

For the Month of _____

Each member shall report sales of covered securities pursuant to the provisions of Paragraph (b) [Trading Activity Fee] of Schedule A, Section 1 [Member Regulation Fees] to FINRA's By-Laws. As listed below, covered securities include: 1) all exchange registered securities wherever executed (other than bonds, debentures, and other evidence of indebtedness), 2) all other equity securities traded otherwise than on an exchange, 3) all security futures wherever executed, 4) all "TRACE-Eligible Securities" except Asset-Backed Securities (ABSs) wherever executed, provided that the transaction also is a "Reportable TRACE Transaction," as these terms are defined in Rule 6710; (5) all municipal securities subject to MSRB reporting requirements; and 6) all "TRACE-Eligible Securities" that are ABSs wherever executed, provided the transaction also is a "Reportable TRACE Transaction" as these terms are defined in Rule 6710.

Transaction Type	Aggregate Volume	Rate	Assessment Amount
1. **Covered Equity Securities** (under maximum[1]) – # of Shares	_____	$0.000119	_____
2. **Covered Equity Securities** (at maximum[1]) – # of Trades	_____	$5.95	_____
3. **Covered Option Contracts** (# of Contracts)	_____	$0.002	_____
4. **Covered Security Futures** (above minimum[2]) (# of Contracts Traded on a Round Turn Basis)	_____	$0.00008	_____
5. **Covered Security Futures** (at minimum[2]) (# of Transactions)	_____	$0.01	_____
6. **Covered Municipal and TRACE Securities** (except ABSs) (under maximum[3]) – # of Bonds	_____	$0.00075	_____
7. **Covered Municipal and TRACE Securities** (except ABSs) (at maximum[3]) – # of Trades	_____	$0.75	_____
8. **Covered TRACE Asset-Backed Securities** (under maximum[4]) – Value of Trades	_____	$0.00000075	_____
9. **Covered TRACE Asset-Backed Securities** (at maximum[4]) – # of Trades	_____	$0.75	_____
		TOTAL ASSESSMENT	_____

_____
Signature of Authorized Representative

_____
Title

_____
Print Name

_____
Date/Telephone Number

_____
Email Address

(continued)

FINRA Trading Activity Fee Self-Reporting Form (continued)

Payment must be submitted with this form. The monthly form and payment are to be filed no later than 10 business days following the end of the month. The monthly form and payment may be submitted to FINRA by either U.S. mail or overnight express mail as follows:

For U.S. mail delivery:

FINRA
P.O. Box 7777-W8555
Philadelphia, PA 19175-8555

Note: This P.O. Box will not accept courier or overnight deliveries.

For courier & overnight deliveries:

FINRA
Attn: 8555
500 Ross Street 154-0455
Pittsburgh, PA 15262

Phone number: (412) 234-4381 (if required for the recipient)

For other payment methods and inquiries:

For inquiries, or if other payment methods are required, please call FINRA Finance at (240) 386-5396.

Please send faxes to (240) 386-5344.

1. There is a $5.95 maximum charge per trade on covered equity securities. All volumes under the maximum of 50,000 shares must be reported as the aggregate number of shares on Line 1. Share volume for any transactions of 50,000 shares or more should be excluded from Line 1 and would be reported as the aggregate number of trades on Line 2.

2. There is a $0.01 minimum charge per round turn on covered security futures traded. All volumes under the minimum of 125 contracts traded on a round turn basis must be reported as the aggregate number of transactions on Line 5. Volume for any transactions of 126 or more contracts traded on a round turn basis should be excluded from Line 5 and would be reported as the aggregate number of contracts traded on a round turn basis on Line 4.

3. There is a $0.75 maximum charge per trade on covered Municipal and TRACE-Eligible Securities. All volumes under the maximum of 1,000 bonds must be reported as the aggregate number of bonds on Line 5. Bond volume for any transactions of 1,000 bonds or more should be excluded from Line 5 and would be reported as the aggregate number of trades on Line 6.

4. There is a $0.75 maximum charge per trade on covered TRACE Asset-Backed Securities. All volumes under the maximum of $1,000,000 trade value must be reported as the total trade value on Line 7. Trade value for any transactions of $1,000,000 or more should be excluded from Line 7 and would be reported as the aggregate number of trades on Line 8.

Investor protection. Market integrity.

1735 K Street, NW
Washington, DC 20006-1506
www.finra.org

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