

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 Section 1(b) [Trading Activity Fee] of Schedule A, Section 1 [Member Regulation Fees] to FINRA's By-Laws. 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" wherever executed, provided that the transaction also is a "reportable TRACE transaction," as these terms are defined in Rule 6210; and (5) All municipal securities subject to MSRB reporting requirements.

Transaction Type	Aggregate Volume	Rate	Assessment Amount
Covered Equity Securities (under maximum ¹) - # of Shares	_____	\$0.000075	_____
Covered Equity Securities (at maximum ¹) - # of Trades	_____	\$3.75	_____
Covered Option Contracts	_____	\$0.002	_____
Covered Future Securities (# of Contracts Traded on a Round Turn Basis)	_____	\$0.04	_____
Covered Debt Securities (under maximum ²) - # of Bonds	_____	\$0.00075	_____
Covered Debt Securities (at maximum ²) - # of Trades	_____	\$0.75	_____
TOTAL ASSESSMENT			_____

Signature of Authorized Representative _____ Title _____

Print Name _____ Date/Telephone Number _____

Email Address _____

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 19106

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

For courier & overnight deliveries:

FINRA
W8555 c/o Mellon Bank, Rm 3490
Philadelphia, PA 19175-8555
Phone number: (215) 553-0697
(if required for the recipient)

For other payment methods:

If other payment methods are required, please call FINRA Finance at (240) 386-5394. Questions regarding the Trading Activity Fee or the report should be directed to FINRA Finance at (240) 386-5397.

1 There is a \$3.75 maximum 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 \$0.75 maximum on covered debt 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 bonds on Line 6.