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.

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Aggregate Volume</th>
<th>Rate</th>
<th>Assessment Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Covered Equity Securities (under maximum1) – # of Shares</td>
<td></td>
<td>$0.000090</td>
<td></td>
</tr>
<tr>
<td>2. Covered Equity Securities (at maximum1) – # of Trades</td>
<td></td>
<td>$4.50</td>
<td></td>
</tr>
<tr>
<td>3. Covered Option Contracts (# of Contracts)</td>
<td></td>
<td>$0.002</td>
<td></td>
</tr>
<tr>
<td>4. Covered Security Futures (# of Contracts Traded on a Round Turn Basis)</td>
<td></td>
<td>$0.04</td>
<td></td>
</tr>
<tr>
<td>5. Covered Municipal and TRACE Securities (except ABSs) (under maximum2) – # of Bonds</td>
<td></td>
<td>$0.00075</td>
<td></td>
</tr>
<tr>
<td>6. Covered Municipal and TRACE Securities (except ABSs) (at maximum2) – # of Trades</td>
<td></td>
<td>$0.75</td>
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</tr>
<tr>
<td>7. Covered TRACE Asset-Backed Securities (under maximum3) – Value of Trades</td>
<td></td>
<td>$0.0000075</td>
<td></td>
</tr>
<tr>
<td>8. Covered TRACE Asset-Backed Securities (at maximum3) – # of Trades</td>
<td></td>
<td>$0.75</td>
<td></td>
</tr>
</tbody>
</table>

TOTAL ASSESSMENT

Signature of Authorized Representative
Title
Print Name
Date/Telephone Number
Email Address

(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  
PO. Box 7777-W8555  
Philadelphia, PA 19175-8555  

**Note:** This PO. 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 $4.50 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 $0.75 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.

3 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.