

Rule A-13: Underwriting and Transaction Assessments for Brokers, Dealers and Municipal Securities Dealers

(a) – (g) No change.

(h) *Temporary Fee Reduction in the Fee Rates Assessed on Activity Occurring from* [During the Months of October 2018] April 1, 2019 – [December 2018] September 30, 2019.

Notwithstanding the rates specified elsewhere in this rule:

(i) Underwriting Assessment. For activity that occurs [during the months of] from [October 2018] April 1, 2019 through and including [December 2018] September 30, 2019, the underwriting assessment described in (c)(i) above shall be .00185% (\$0.0185 per \$1,000) of the par value.

(ii) Transaction Assessment. For activity that occurs [during the months of] from [October 2018] April 1, 2019 through and including [December 2018] September 30, 2019, the transaction assessment described in (d)(i) and (d)(ii) above shall be .00067% (\$0.0067 per \$1,000) of the par value.

(iii) Technology Assessment. For activity that occurs [during the months of] from [October 2018] April 1, 2019 through and including [December 2018] September 30, 2019, the [underwriting] technology assessment described in (d)(iv)(a) and (d)(iv)(b) above shall be \$0.67 per transaction.