

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 April 1, 2021 [2019] – September 30, 2022 [2019].* Notwithstanding the rates specified elsewhere in this rule:

(i) Underwriting Assessment. For activity that occurs from April 1, [2019] 2021 through and including September 30, [2019] 2022, the underwriting assessment described in (c)(i) above shall be .00165% (\$0.0165 [.00185% (\$0.0185) per \$1,000) of the par value.

(ii) Transaction Assessment. For activity that occurs from April 1, [2019] 2021 through and including September 30, [2019] 2022, the transaction assessment described in (d)(i) and (d)(ii) above shall be .0006% (\$0.006 [.00067% (\$0.0067) per \$1,000) of the par value.

(iii) Technology Assessment. For activity that occurs from April 1, [2019] 2021 through and including September 30, [2019] 2022, the technology assessment described in (d)(iv)(a) and (d)(iv)(b) above shall be \$0.60 [\$0.67] per transaction.