J. Market Regulation and Market Surveillance Fees


1. - 4. Unchanged

5. [Fees for FINRA-provided services (paid directly to FINRA)]

Fees for FINRA-provided services (paid directly to FINRA) for Participants that are not FINRA Members

<table>
<thead>
<tr>
<th>Education and Examination Fees</th>
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</thead>
<tbody>
<tr>
<td>Continuing Education Regulatory Element</td>
<td>[$75]</td>
<td>$100</td>
</tr>
<tr>
<td>Series 7 Examination</td>
<td>[$250]</td>
<td>$290</td>
</tr>
<tr>
<td>Series 27 Examination</td>
<td>[$85]</td>
<td>$115</td>
</tr>
</tbody>
</table>

Central Registration Depository (“CRD”) Fees

| Registration Fee | [$85] |
| Disclosure Processing Fee (U-4, U-5 and any amendments) | $95 |
Annual Processing Fee $30

Each initial Form U4 filed for the registration of a representative or principal $100

Additional processing of each initial or amended Form U4, Form U5 or Form BD that includes the initial reporting, amendment, or certification of one or more disclosure events or proceedings $110

Termination Fee $40

Late Termination Fee $80

[Fingerprint Processing:

Initial Submission $30.25 per card

Second Submission (for a first fingerprint card submission that was determined by the FBI as being illegible) $13 per card

Third Submission] $30.25 per card]

Processing and posting to the CRD system each set of fingerprints submitted electronically to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints $15 per card

Processing and posting to the CRD system each set of fingerprints submitted in non-electronic format to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints $30 per card
fingerprints

System processing for each registered representative and principal $45

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