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

(a) – (g) No change.


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 technology assessment described in (d)(iv)(a) and (d)(iv)(b) above shall be $0.67 per transaction.