

Additions underlined
Deletions [bracketed]

Fee Schedule 2023[2]

FEE SCHEDULE OF NYSE CHICAGO, INC.

Updated through [November 28, 2022]January 3, 2023

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5.	WebCRD Fees for FINRA-provided services (paid directly to FINRA) for Participants that are not FINRA Members.	
	<u>Education and Examination Fees</u>	
	Continuing Education Regulatory Element (S101 and S201)	\$55
	Series 7 Examination	\$305
	Series 14 Examination	\$350
	Series 27 Examination	\$120
	Series 57 Examination	\$120
	<u>Central Registration Depository (“CRD”) Fees</u>	
	Each initial Form U4 filed for the registration of a representative or principal	\$125
	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	\$ <u>155</u> [10]

	Termination Fee	\$40
	Late Termination Fee	\$80
	Processing and posting to the CRD system each set of fingerprints submitted <i>electronically</i> to FINRA, plus any other charge that may be imposed by the U.S. Department of Justice for processing each set of fingerprints	\$20[15] per card
	Processing and posting to the CRD system each set of fingerprints submitted in <i>non-electronic</i> 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
	System processing for each registered representative and principal	\$45

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