

DTCC Solutions LLC

Appendix A Cost Basis Reporting Service Fee Schedule As of December 1, 2011

The Cost Basis Reporting Service (CBRS) has four Record Content Types: Original, Corrected, Firm Reject, and Request. CBRS fees are charged for Asset records only, there is no charge for Tax Lot records. CBRS pricing depends on the type of record, and whether the user is the submitter or receiver of the record.

Please note: if a CBRS user accumulates less than \$100 in fees for a given month, DTCC waives the bill for that month. This threshold is calculated only for each individual month—the charges do not carry over from month to month.

Fees for Original asset records

The submitter pays \$0.01 per Original asset record for all transaction types except 04 = Conversions. For transaction type 04 = Conversions, the submitter pays nothing.

The receiver of the Original asset record pays the fees outlined in the table below. The fees are charged based on the number of records received per day.

Number of asset records received in one day			
From	To	Receiver pays	Maximum
1	20,000	\$0.09	\$1,800
20,001	60,000	\$0.05	\$2,000
60,001	100,000	\$0.03	\$1,200
100,001	unlimited	\$0.00	--
Total maximum charge for received records per day			\$5,000

Fees for Corrected, Firm Reject, and Request asset records

Asset Record Type	Charge to Submitter	Charge to Receiver
Corrected	\$0.01	\$0.09
Firm Reject	--	\$0.05
Request	\$0.03	\$0.03