



2019 VISION Filing Fees by Detail Product Code
Effective as of January 1, 2019

Department	PS Code	PS Description	Proposed 2019 Fee
Appeals	36100	SVO Appeals Initial	\$ 2,575.00
Appeals	36101	SVO Appeals Annual	\$ 2,575.00
Appeals	36102	SVO Appeals Rejection	\$ 300.00
Appeals	36103	SVO Appeals Expired Info Request	\$ 300.00
Appeals	36104	SVO Appeals Additional Issue	\$ 300.00
Canadian Municipals	23500	Canada Initial Rated	\$ 275.00
Canadian Municipals	23502	Canada A/U Rated	\$ 300.00
Canadian Municipals	23520	Canada Initial Expired Info Request	\$ 275.00
Canadian Municipals	23521	Canada Initial Issuer NotInVOS	\$ 5,000.00
Canadian Municipals	23523	Canada A/U VOS Not Rated	\$ 1,650.00
Canadian Municipals	23524	Canada Initial Not Rated	\$ 1,650.00
Canadian Municipals	23529	Canada Initial VOS 5*/6*	\$ -
Canadian Municipals	23530	Canada Annual Expired Info Request	\$ 300.00
Canadian Municipals	23538	Canada Annual VOS 5*/6*	\$ -
Canadian Municipals	23542	Canada Material Change	\$ 300.00
Canadian Municipals	23545	Canada Pricing Request	\$ 175.00
Canadian Municipals	23546	Canada Renumbering Requests	\$ -
Canadian Municipals	23547	Canada Rejected Filing	\$ 300.00
Canadian Municipals	23548	Canada Non-Billable Filing	\$ -
Canadian Municipals	23561	Canada A/U Issuer CRP Rated	\$ 575.00
Canadian Municipals	23562	Canada A/U Issuer Rated Add Issue	\$ 175.00
Canadian Municipals	23563	Canada Initial Issuer CRP Rated	\$ 1,650.00
Canadian Municipals	23564	Canada Initial Issuer Rated Add Issue	\$ 1,650.00
Corporate	20000	Corp Initial Rated	\$ 275.00
Corporate	20002	Corp A/U Rated	\$ 300.00
Corporate	20004	Corp Initial Common Stock	\$ 275.00
Corporate	20005	Corp A/U Common Stock	\$ 300.00
Corporate	20007	Struc CTL A/U Rated	\$ 325.00
Corporate	20008	Struc CTL A/U Not Rated	\$ 1,650.00
Corporate	20009	Corp Initial Foreign Stock	\$ 275.00
Corporate	20010	Corp A/U Foreign Stock	\$ 300.00
Corporate	20021	Corp Initial Issuer Not in VOS	\$ 5,000.00
Corporate	20023	Corp A/U Not Rated	\$ 1,650.00
Corporate	20024	Ann Common Equity-Like Class	\$ 1,650.00
Corporate	20026	Corp Initial Not Rated	\$ 1,650.00
Corporate	20027	Init Common Equity-Like Class	\$ 5,000.00
Corporate	20029	Corp Initial VOS 5*/6*	\$ -
Corporate	20030	Corp Initial Expired Info Request	\$ 275.00
Corporate	20037	Corp Annual VOS 5*/6*	\$ -
Corporate	20040	Corp Annual Expired Info Request	\$ 300.00



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Department	PS Code	PS Description	Proposed 2019 Fee
Corporate	20041	Corp Rejected Filing	\$ 300.00
Corporate	20042	Corp Non-Billable Filing	\$ -
Corporate	20043	Corp A/U Issuer CRP Rated	\$ 575.00
Corporate	20045	Corp A/U Issuer Rated Add Issue	\$ 175.00
Corporate	20046	Corp Initial Issuer CRP Rated	\$ 1,650.00
Corporate	20047	Corp Initial Issuer Rated Add Issue	\$ 1,650.00
Corporate	20060	Corp Initial DIPS	\$ 5,000.00
Corporate	20061	Corp Annual DIPS	\$ 1,650.00
Corporate	20062	Corp Material Change	\$ 300.00
Corporate	20063	Corp Pricing Request	\$ 175.00
Corporate	20064	Corp Renumbering Request	\$ -
Corporate	20065	Corp Initial Complex Credit Not in VOS	\$ 5,000.00
Corporate	20066	Corp Initial Complex Credit in VOS	\$ 5,000.00
Corporate	23600	SCH BA Initial Rated	\$ 275.00
Corporate	23601	SCH BA Initial Not Rated	\$ 1,650.00
Corporate	23602	SCH BA Initial NotinVOS	\$ 5,000.00
Corporate	23603	SCH BA Annual Rated	\$ 300.00
Corporate	23604	SCH BA Annual VOS Not Rated	\$ 1,650.00
Corporate	23605	SCH BA Initial Surplus Note X	\$ 275.00
Corporate	23606	SCH BA Annual Surplus Note X	\$ 300.00
Corporate	23615	SCH BA Material Change	\$ 300.00
Corporate	23616	SCH BA Pricing Request	\$ 175.00
Corporate	23617	SCH BA Renumbering Request	\$ -
Corporate	23618	SCH BA Annual VOS 5*/6*	\$ -
Corporate	23619	SCH BA Initial VOS 5*/6*	\$ -
Corporate	23620	SCH BA Initial Expired Info Request	\$ 275.00
Corporate	23621	SCH BA Annual Expired Info Request	\$ 300.00
Corporate	23622	SCH BA A/U Issuer CRP Rated	\$ 575.00
Corporate	23623	SCH BA A/U Issuer Rated Add Issue	\$ 175.00
Corporate	23624	SCH BA Initial Issuer CRP Rated	\$ 1,650.00
Corporate	23625	SCH BA Initial Issuer Rated Add Issue	\$ 1,650.00
Corporate	23626	SCH BA Rejected Filngs	\$ 300.00
Corporate	23627	SCH BA Non-Billable Filing	\$ -
Corporate	0021F	Corp Initial Issuer Not in VOS Foreign	\$ 5,000.00
Corporate	0023F	Corp A/U Not Rated Foreign	\$ 1,650.00
Corporate	0026F	Corp Initial Not Rated Foreign	\$ 1,650.00
Counterparties	17001	Counterparty Derivative Initials	\$ 2,575.00
Counterparties	17002	Counterparty Derivative Annuals	\$ 500.00
Counterparties	17003	Counterparty Derivative Rejection	\$ 300.00
Counterparties	17004	Counterparty Derivative Expired Info Request	\$ 300.00



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Department	PS Code	PS Description	Proposed 2019 Fee
Exchange Traded Funds	35700	Exchange Traded Funds (Annuals Non Insurers)	\$ 1,250.00
Exchange Traded Funds	35701	Exchange Traded Funds (Sponsors License)	\$ 1,250.00
Government	23510	Govt Initial Rated	\$ 275.00
Government	23512	Govt A/U Issue Rated	\$ 300.00
Government	23531	Govt Initial Issuer Not in VOS	\$ 5,000.00
Government	23533	Govt A/U VOS Not Rated	\$ 1,650.00
Government	23534	Govt Initial Not Rated	\$ 1,650.00
Government	23549	Govt Initial VOS 5*/6*	\$ -
Government	23550	Govt Initial Expired Info Request	\$ 275.00
Government	23555	Govt Material Change	\$ 300.00
Government	23556	Govt Pricing Request	\$ 175.00
Government	23557	Govt Renumbering Request	\$ -
Government	23558	Govt Annual VOS 5*/6*	\$ -
Government	23560	Govt Annual Expired Info Request	\$ 300.00
Government	23565	Govt A/U Issuer CRP Rated	\$ 575.00
Government	23566	Govt A/U Issuer Rated Add Issue	\$ 175.00
Government	23567	Govt Initial Issuer CRP Rated	\$ 1,650.00
Government	23568	Govt Initial Issuer Rated Add Issue	\$ 1,650.00
Government	23569	Govt Rejected Filing	\$ 300.00
Government	23570	Govt Non-Billable Filing	\$ -
Municipal	21000	Muni Initial Rated	\$ 275.00
Municipal	21002	Muni A/U Rated	\$ 300.00
Municipal	21021	Muni Initial Issuer Not in VOS	\$ 5,000.00
Municipal	21023	Muni A/R VOS Not Rated	\$ 1,650.00
Municipal	21024	Muni Initial Not Rated	\$ 1,650.00
Municipal	21029	Muni Initial VOS 5*/6*	\$ -
Municipal	21030	Muni Initial Expired Info Request	\$ 275.00
Municipal	21037	Muni Annual VOS 5*/6*	\$ -
Municipal	21040	Muni Annual Expired Info Request	\$ 300.00
Municipal	21043	Muni A/R Issuer CRP Rated	\$ 575.00
Municipal	21044	Muni Initial Issuer CRP Rated	\$ 1,650.00
Municipal	21045	Muni Initial Issuer Rated Add Issue	\$ 1,650.00
Municipal	21055	Muni Annual Lottery Add Issue	\$ 175.00
Municipal	21056	Muni Initial Lottery	\$ 1,350.00
Municipal	21057	Muni Annual Lottery	\$ 750.00
Municipal	21058	Muni Initial Pre-Refunded	\$ 1,350.00
Municipal	21059	Muni Annual Pre-Refunded	\$ 1,350.00
Municipal	21060	Muni A/R Issuer Rated Add Issue	\$ 175.00
Municipal	21061	Muni Material Change	\$ 300.00
Municipal	21062	Muni Pricing Request	\$ 175.00



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Department	PS Code	PS Description	Proposed 2019 Fee
Municipal	21063	Muni Renumbering Request	\$ -
Municipal	21064	Muni Rejected Filing	\$ 300.00
Municipal	21065	Muni Non-Billable Filing	\$ -
Mutual Fund	16001	Mutual Funds Initials	\$ 775.00
Mutual Fund	16002	Mutual Funds Annuals	\$ 500.00
Mutual Fund	16003	Mutual Funds Rejection	\$ 300.00
Mutual Fund	16004	Mutual Funds Expired Info Request	\$ -
Private Letter Rating	26001	Private Letter Initial	\$ 175.00
Private Letter Rating	26002	Private Letter Subsequent	\$ 175.00
Private Letter Rating	26003	Private Letter Expired Info Request	\$ 175.00
Private Letter Rating	26004	Private Letter Rejected Filing	\$ 175.00
Qualified U.S. Financial Institution	15005	QUSFI Initial	\$ 1,500.00
Qualified U.S. Financial Institution	15006	QUSFI Annual	\$ 750.00
Regulatory Treatment Analysis Service	25000	Advance Rating Serv - Corp (Non Insurer)	\$ 25,000.00
Regulatory Treatment Analysis Service	25001	Advance Rating Serv - Corp (Insurer)	\$ 15,750.00
Regulatory Treatment Analysis Service	25003	Advance Rating Serv - ETF (Non Insurer)	\$ 25,000.00
Regulatory Treatment Analysis Service	25004	Advance Rating Serv - ETF (Insurer)	\$ 15,750.00
Sovereign	20500	Foreign/Supra Initial Rated	\$ 275.00
Sovereign	20501	Foreign/Supra Init IssrNtinVOS	\$ 5,000.00
Sovereign	20502	Foreign/Supra AU Rated	\$ 300.00
Sovereign	20503	Foreign/Supra AU VOS Not Rated	\$ 1,650.00
Sovereign	20504	Foreign/Supra AU CRP Rated	\$ 575.00
Sovereign	20506	Foreign/Supra Initial Not Rated	\$ 1,650.00
Sovereign	20526	Foreign/Supra Initial Issuer CRP Rated	\$ 1,650.00
Sovereign	20529	Foreign/Supra Initial VOS 5*/6*	\$ -
Sovereign	20530	Foreign/Supra Initial Expired Info Request	\$ 275.00
Sovereign	20531	Foreign/Supra Annual Expired Info Request	\$ 300.00
Sovereign	20532	Foreign/Supra Initial Issuer Add Issue	\$ 1,650.00
Sovereign	20533	Foreign/Supra Annual Issuer Add Issue	\$ 175.00
Sovereign	20537	Foreign/Supra Annual VOS 5*/6*	\$ -
Sovereign	20540	Foreign/Supra Material Change	\$ 300.00
Sovereign	20541	Foreign/Supra Pricing Request	\$ 175.00
Sovereign	20542	Foreign/Supra Renumbering Request	\$ -
Sovereign	20543	Foreign/Supra Rejected Filing	\$ 300.00
Sovereign	20544	Foreign/Supra Non-Billable Filing	\$ -
Structured Security	22000	Struc Initial Rated	\$ 275.00
Structured Security	22003	Military Housing Bonds Initial	\$ 5,000.00
Structured Security	22008	Struct CMBS Initial	\$ 275.00
Structured Security	22009	Struc REIT Initial Rated	\$ 275.00
Structured Security	22010	Struct A/U Rated	\$ 300.00



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Department	PS Code	PS Description	Proposed 2019 Fee
Structured Security	22013	Struct Replication A/U	\$ 325.00
Structured Security	22014	Struct RMBS A/U Non-Gtd	\$ 575.00
Structured Security	22018	Struct CMBS A/U	\$ 300.00
Structured Security	22019	Struct REIT A/U Rated	\$ 300.00
Structured Security	22020	Struct CTL Additional Notes	\$ 300.00
Structured Security	22021	Struct Eqty-Lnkd Initial Rated	\$ 275.00
Structured Security	22023	Struct Eqty-Lnkd A/U Rated	\$ 300.00
Structured Security	22025	Struct RMBS A/U Gtd	\$ 300.00
Structured Security	22026	Struct RMBS Initial Gtd	\$ 275.00
Structured Security	22029	Military Housing Bonds Annual	\$ 1,650.00
Structured Security	22030	Struct REIT Initial Not Rated	\$ 1,650.00
Structured Security	22040	Struct Initial Filing NtRat NtVOS	\$ 1,650.00
Structured Security	22042	Str Initial VOS 5*/6*	\$ -
Structured Security	22043	Str Initial Expired Info Request	\$ 275.00
Structured Security	22044	Str Annual Expired Info Request	\$ 300.00
Structured Security	22046	Str Annual VOS 5*/6*	\$ -
Structured Security	22047	Str Material Change	\$ 300.00
Structured Security	22048	Str Pricing Request	\$ 175.00
Structured Security	22049	Str Renumbering Request	\$ -
Structured Security	22051	Str Non-Billable Filing	\$ -
Structured Security	22101	Struc CTL Bond Initial	\$ 1,650.00
Structured Security	22102	Struct CTL Lease Initial	\$ 2,575.00
Structured Security	22104	Struct RMBS Initial Non-Gtd	\$ 1,650.00
Structured Security	22111	Struct A/U Not Rated	\$ 1,650.00
Structured Security	22112	Struct Replication Initial	\$ 1,650.00
Structured Security	22122	Struct Eqty-Lnkd Initial NtRat	\$ 1,650.00
Structured Security	22123	Struct Eqty-Lnkd NtVOS	\$ 1,650.00
Structured Security	22124	Struct Eqty-Lnkd A/U NotRtd	\$ 1,650.00
Structured Security	22127	Struct REIT Initial Not In VOS	\$ 5,000.00
Structured Security	22128	Struct REIT A/U Not Rated	\$ 1,650.00
Structured Security	22160	Struct Replication Collateral	\$ 325.00
Structured Security	22161	Str Initial Structured Settlement	\$ 1,650.00
Structured Security	22162	Str Annual Structured Settlement	\$ 575.00
Structured Security		Str Annual Structured Settlement Add Issue	\$ 175.00
Structured Security	22163	SSG Initial Mortgage Reference	\$ -
Structured Security	22164	SSG Annual Mortgage Reference	\$ -
Structured Security	22165	Structured Initial ETFs	\$ 2,575.00
Structured Security	22166	Structured Annual ETFs	\$ 1,650.00
Structured Security	22167	Structured Rejected Filing	\$ 300.00
Structured Security	22168	SSG Rejected Filing	\$ 300.00



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Department	PS Code	PS Description	Proposed 2019 Fee
Structured Security	22169	Structured Material Change	\$ 300.00
Structured Security	22170	Structured Pricing Request	\$ 175.00
Structured Security	22171	Structured Renumbering Request	\$ -
Surplus Note	18001	Surplus Notes	\$ -
Surplus Note	18002	Surplus Notes	\$ -
Surplus Note	18003	Surplus Notes Expired Info Request	\$ 300.00
Working Capital Finance Investment	25006	Working Capital Fin Inv	\$ 10,000.00
Working Capital Finance Investment	25007	Working Capital Fin Inv - Prev	\$ 5,000.00
Working Capital Finance Investment	25008	Working Capital Fin Inv - Annual	\$ 1,650.00