

SVO List of Fees

Date: 1/28/16

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Category	Product Code	Ps Description	Applicability	Fee
Annual 5*/6* Codes (NEW)	20037	Corp Annual VOS 5*/6*		\$1,500
	20039	Corp Initial VOS 5*/6* X		
	20537	Foreign/Supra Annual VOS 5*/6*		
	20539	Foreign/Supra Initial VOS 5*/6* X		
	21037	Muni Annual VOS 5*/6*		
	21039	Muni Initial VOS 5*/6* X		
	22046	Str Annual VOS 5*/6*		
	22052	Str Initial VOS 5*/6* X		
	23538	Canada Annual VOS 5*/6* X		
	23539	Canada Initial VOS 5*/6* X		
	23558	Govt Annual VOS 5*/6*		
	23559	Govt Initial VOS 5*/6* X		
	23618	SCH BA Annual VOS 5*/6*		
23629	SCH BA Annual VOS 5*/6* X			
Bank Letter of Credit	15001	Bank Letter of Credit Initial	New listing request.	\$1,500
	15002	Bank Letter of Credit Annual	Annual maintenance fee for mutual funds for existing banks that insurers wish to retain pn the list.	\$500
Canadian Bonds	23505	Canada Initial Rated	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	23506	Canada Annual Update Rated	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	23543	Canada Annual Update Not Rated	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
	23541	Canada Initial Issuer Not In VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit thyat has been rated by an NAIC CRP.	\$5,000
Canadian Bonds	23524	Canada Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500

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Corporate	20011	Corporate Initial Rated	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	20012	Corporate Annual Update Rated	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	20014	Corporate Initial Common Stock	Initial SAR filing, valuation and listing in Valuation of securities publication of common stock.	\$175
	20015	Corporate Annual Update Common Stock	Annual update filing, valuation and listing in Valuation of securities publication of common stock.	\$175
	20019	Corporate Initial Foreign Stock	Initial SAR filing, valuation and listing in Valuation of securities publication of common stock.	\$175
	20020	Corporate Annual Update Foreign Stock	Annual update filing, valuation and listing in Valuation of securities publication of common stock.	\$175
	20031	Corporate Initial Issuer Not in VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit thyat has been rated by an NAIC CRP.	\$5,000
	20033	Corporate Annual Update Not Rated X	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
Corporate	20025	Annual Common Equity-Like Class	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
	20028	Initial Common Equity-Like Class X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit thyat has been rated by an NAIC CRP.	\$5,000

Category	Product Code	Ps Description	Applicability	Fee
	20026	Corporate Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
Counterparty Derivatives	17001	Counterparty Derivative Initials	Counterparty ratings. Initial filing.	\$2,250
	17002	Counterparty Derivative Annuals	Annual rating maintenance fee.	\$500
ETF Sponsor License Agreement	N/A			\$1,000
Foreign Government / Supranational Entity	20510	Foreign/Supra Initial Rated X	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	20511	Foreign/Supra Initial Issuer Not in VOS	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit that has been rated by an NAIC CRP.	\$5,000
Foreign Government / Supranational Entity	20512	Foreign/Supra Annual Update Rated X	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	20513	Foreign/Supra Annual Update Not Rated X	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
	20506	Foreign/Supra Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
U.S. Government Bonds	23515	Government Initial Rated X	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	23516	Government Annual Update Rated X	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175

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U.S. Government Bonds	23551	Government Initial Issuer Not in VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit that has been rated by an NAIC CRP.	\$5,000
	23553	Government Annual Update Not Rated X	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
	23534	Government Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
Military Housing Bonds	22003	Military Housing Bonds Initial	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$5,000
	22039	Military Housing Bonds Annual	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
Municipal Bonds	21010	Municipal Initial Rated X	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	21012	Municipal Annual Update Rated X	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	21033	Municipal Annual Update Not Rated X	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500

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	21031	Municipal Initial Issuer Not in VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit that has been rated by an NAIC CRP.	\$5,000
	21024	Municipal Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
Mutual Funds	16001	Mutual Funds Initials	Mutual Fund Listing. New listing requests.	\$600
	16002	Mutual Funds Annuals	Annual Maintenance fee for mutual funds currently on the list that insurers wish to retain on the list.	\$300
Regulatory Treatment Analysis Service (RTAS)	25000	RTAS Advance Rating Service - Corporate (Non Insurer)	Assessment Fee (includes credit, valuation and classification analysis of a single security). When the applicant is not an insurer.	\$25,000
	25001	RTAS Advance Rating Service - Corporate (Insurer)	Assessment Fee (includes credit, valuation and classification analysis of a single security). When the applicant is an insurer.	\$15,000
	25003	RTAS Advance Rating Service - ETF (Non Insurer)	Initial Filing when the applicant is not an insurer.	\$25,000
	25004	RTAS Advance Rating Service - ETF (Insurer)	Initial Filing when the applicant is an insurer.	\$15,000

Category	Product Code	Ps Description	Applicability	Fee
Schedule BA Assets	23610	SCHEDULE BA Initial Rated X	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	23612	SCHEDULE BA Initial Not in VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit thyat has been rated by an NAIC CRP.	\$5,000
	23613	SCHEDULE BA Annual Rated X	Annual update filing, valuation and listing in Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$175
	23604	SCHEDULE BA Annual Not Rated X	NAIC Designation. Annual update filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP.	\$1,500
	23605	SCHEDULE BA Initial Surplus Note X		\$250
	23606	SCHEDULE BA Annual Surplus Note X		\$125
	23601	SCHEDULE BA Initial Not Rated X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
Structured Securities	20018	Structured CTL Annual Update Not Rated X	Annual Update Filing Fee where the lessee/tenant is not rated by a CRP nor has an existing NAIC Designation - First ATF.	\$1,500
	20017	Structured CTL Annual Update Rated X	Annual Update filing Fee where Lessee/Tenant is rated by an NAIC CRP.	\$175
	22000	Structured Initial Rated	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP.	\$250
	22060	Structured CTL Additional Notes X		\$175
	22021	Structured Equity-Linked Initial Rated	Initial SAR filing, valuation and listing Valuation of Securities publication where the issue is currently rated by an NAIC CRP - Structured Securities.	\$250
	22026	Structured RMBS Initial Guaranteed		\$250

Category	Product Code	Ps Description	Applicability	Fee
	22030	Structured REIT Initial Not Rated	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO.	\$1,500
	22040	Structured Initial Filing Not Rated Not in VOS	Residual tranches of ABS, RMBS, CLOs and CDOs. Initial filing fee.	\$1,500
	22050	Structured Annual Update Rated X	Residual tranches of ABS, RMBS, CLOs and CDOs. Annual update filing fee.	\$175
Structured Securities	22058	Structured CMBS Annual Update X		\$175
	22059	Structured REIT Annual Update Rated X	Residual tranches of ABS, RMBS, CLOs and CDOs. Annual update filing fee.	\$175
	22063	Structured Equity-Linked Annual Update Rated X		\$175
	22065	Structured RMBS Annual Update Guaranteed X		\$175
	22141	Structured Annual Update Not Rated X	Structured Transactions, Legacy Securities and Securities Subject to Pricing Grid and SSAP No. 43R in Part Three, Section 3. Annual Update Filing Fee.	\$1,500
	22142	Structured Replication Initial X	Structured Transactions, Legacy Securities and Securities Subject to Pricing Grid and SSAP No. 43R in Part Three, Section 3. Annual Update Filing Fee.	\$1,500
	22143	Structured Replication Annual Update X		\$175
	22154	Structured Equity-Linked Annual Update Not Rated X	Structured Transactions, Legacy Securities and Securities Subject to Pricing Grid and SSAP No. 43R in Part Three, Section 3. Annual Update Filing Fee.	\$1,500
	22158	Structured REIT Annual Update Not Rated X	Structured Transactions, Legacy Securities and Securities Subject to Pricing Grid and SSAP No. 43R in Part Three, Section 3. Annual update filing fee.	\$1,500
		22160	Str. Replications Collateral (NEW)	
	22101	Structured CTL Bond Lease Initial	Bond Lease Based Credit Tenant Loans. Initial filing fee.	\$1,500
	22132	Structured CTL Credit Lease Initial X	Credit Lease Based Credit Tenant Loans. Initial Filing fee.	\$2,300

Category	Product Code	Ps Description	Applicability	Fee
Structured Securities	22122	Structured Equity-Linked Initial Not Rated	Structured Transactions, Legacy Securities and Securities Subject to Pricing Grid and SSAP No. 43R in Part Three, Section 3. Initial Filing Fee.	\$1,500
	22123	Structured Equity-Linked Not in VOS		\$1,500
	22157	Structured REIT Initial Not In VOS X	Initial SAR filing, valuation and listing in Valuation of Securities publication where the issue is not rated by an NAIC CRP and where no other issues of that issuer have been rated by an NAIC CRP or assigned a Designation by the SVO. This includes issues, which may enjoy some form of credit support from another credit thyat has been rated by an NAIC CRP.	\$5,000
Subsidiary Notes	14001	Subsidiary 1		\$600
	14002	Subsidiary 2		\$600
Surplus Notes	18001	Surplus Notes		\$0
SVO Appeals	36100	Initial (NEW)		\$2,500
	36101	Annual (NEW)		\$750
Working Capital Finance Investments	25006	Working Capital Finance Investments		\$10,000
	25007	Working Capital Finance Investments - Previous		\$5,000
	25008	Working Capital Finance Investments – Annual Update		\$1,500