



**SIFMA**<sup>TM</sup>

Securities Industry and  
Financial Markets Association

## MUNICIPAL ASSESSMENT FORM

**Mail to: Securities Industry & Financial Markets Assn.  
Municipal Assessment  
14279 Collections Center Drive  
Chicago, IL 60693**

Name of the person filling out this form: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

<b>ID Number:</b> _____ (Please note your check <u>cannot</u> be processed without an ID Number!)	
<b>Issue Description:</b> _____ _____	
<b>Issue State:</b> _____	<b>Sale Date:</b> _____
<b>Par Value:</b> \$ _____ X .00003 = <b>SIFMA Municipal Assessment:</b> \$ _____	

**Managing Underwriter:** \_\_\_\_\_

**Settlement Date:** \_\_\_\_\_ **Final Maturity Date:** \_\_\_\_\_

**Instructions:** Each municipal securities dealer or dealer bank which is a member of the Association is asked to pay a **SIFMA Municipal Assessment** equal to .003% (\$.03 per \$1,000) of the par value of all municipal securities purchased from issuers as new issues with aggregate par values of \$1,000,000 or more and stated final maturities of not less than two years.

If your firm is sole underwriter, please complete this form for the entire amount of the SIFMA Municipal Assessment due. If a syndicate or similar account has been formed to purchase the securities, the SIFMA Municipal Assessment shall be paid by and remitted by the managing underwriter on behalf of all participants. **A check for the SIFMA Municipal Assessment should be made mailed with a completed copy of this form no later than 30 days after the date of settlement with the issuer.** (Should your firm wish to make payment by wire, please contact us according to the information provided herein for further information.)

**Contact Us:** Direct inquiries relating to the SIFMA Municipal Assessment to Haley Lambert via phone at 212.618.0556, via fax at 212.968.0878, or via email at [hlambert@sifma.org](mailto:hlambert@sifma.org).