

## SRO/Jurisdiction Fee and Setting Schedule - Web CRD

Fees As Of 1/5/2010

	Individual Fees					Individual Settings				BD Fees and Settings										
	Initial Reg Fee	Transfer / Relicense Fee*	Renewal Fee	Mass Transfer Fee	Mass Transfer Dual AG/RA Fee	Registration Review Method	Dual AG	Dual AG/RA	S63 Requirement	BD Initial Reg Fee	BD Renewal Fee	Accept Online BD amds?	Branch Reqmt	Branch Office Fee	BR Renewal Fee	Form BR Amd Fee	Dual BR Office Fee	Dual BR Renewal Fee:	Branch Mass Tran Fee	Branch Mass Tran Dual Fee
Alabama	60	60	60	60		Automatic	Affiliates Only	Always	Yes	250	250	Yes	Notice File	0	0		0	0	0	
Alaska	75	75	75	75		Automatic	Affiliates Only	Always	Yes	250	250	Yes	Notice File	0	0		0	0	0	
Arizona	40	40	40	40		Automatic	Affiliates Only	Always	Yes	300	300	Yes	Neither						0	
Arkansas	75	75	75	75		Automatic	Affiliates Only	Affiliates Only	Yes	300	300	Yes	Register	50	50		100		50	100
California	25	25	0	25		Automatic	Always	Always	Yes	300	75	Yes	Neither						0	
Colorado	14	14	14			Automatic	Always	Always	No	69	69	Yes	Neither							
Connecticut	100	100	100	50		Automatic	Affiliates Only	Always	Yes	315	190	Yes	Register	100	0	100	200	0	100	
Delaware	50	50	50	50		Automatic	Always	Always	Yes	250	250	Yes	Neither						0	
District of Columbia	45	45	45			Automatic	Affiliates Only	Always	No	250	250	Yes	Neither							
Florida	50	50	50			Automatic	Always	Always	No	200	200	Yes	Register	100	100		200	200		
Georgia	50	50	40			Automatic	Always	Always	Yes	250	100	Yes	Neither							
Hawaii	25	25	25	25		Automatic	Always	Always	Yes	100	100	Yes	Notice File	0	0		0	0	0	
Idaho	50	50	50			Automatic	Always	Always	Yes	200	200	Yes	Notice File	0	0		0	0		
Illinois	150	150	150	150		Automatic	Always	Always	Yes	600	600	Yes	Notice File	20	20		20	20	0	
Indiana	25	25	25	25	25	Automatic	Never	Always	Yes	250	125	Yes	Notice File	0	0					
Iowa	40	40	40	40		Automatic	Affiliates Only	Always	Yes	200	200	Yes	Neither						0	
Kansas	55	55	55	55		Automatic	Affiliates Only	Always	Yes	200	200	Yes	Notice File	0	0		0	0	0	
Kentucky	50	50	50	50		Automatic	Affiliates Only	Affiliates Only	Yes	120	120	Yes	Neither							
Louisiana	60	60	60			Automatic	Affiliates Only	Always	No	250	250	Yes	Neither							
Maine	50	50	30	50		Home State	Affiliates Only	Always	Yes	250	250	Yes	Register	50	30		50	30	50	50
Maryland	35	35	35	35	85	Automatic	Always	Always	No	250	250	Yes	Neither						0	0
Massachusetts	75	75	75	75		Automatic	Never	Always	Yes	450	450	Yes	Neither						0	
Michigan	65	65	65	65	65	Automatic	Affiliates Only	Always	Yes	300	300	Yes	Neither	0	0				0	0
Minnesota	50	25	50			Automatic	Affiliates Only		Yes	200	200	Yes	Neither							
Mississippi	50	50	50			Automatic	Always	Always	Yes	200	200	Yes	Neither							
Missouri	50	50	50	50	50	Automatic	Affiliates Only	Affiliates Only	Yes	200	100	Yes	Neither						0	
Montana	50	50	50	50		Automatic	Always	Always	Yes	200	200	Yes	Neither						0	
Nebraska	40	40	40	40		Automatic	Never	Always	Yes	250	250	Yes	Neither						0	
Nevada	110	110	110			Automatic	Never	Always	Yes	300	300	Yes	Register	100	100	50				
New Hampshire	130	130	100	25		Automatic	Affiliates Only	Always	Yes	300	250	Yes	Notice File						0	
New Jersey	60	60	60	60	60	Automatic	Always	Always	No	300	300	Yes	Neither						0	
New Mexico	50	50	50	50		Automatic	Affiliates Only	Always	Yes	300	300	Yes	Notice File	0	0		0	0	0	
New York	70	60	37	30		Automatic	Always		Yes	300	300	Yes	Neither						0	
North Carolina	125	125	125			Manual	Never	Always	Yes	300	300	Yes	Neither							
North Dakota	60	60	60	60		Automatic	Always	Always	Yes	200	200	Yes	Neither						0	
Ohio	60	60	60	15	30	Manual	Never	Always	No	200	200	Yes	Notice File	0	0		0	0		
Oklahoma	50	50	50	10		Automatic	Always	Always	Yes	300	300	Yes	Neither						0	
Oregon	50	50	50			Automatic	Never	Never	Yes	250	200	Yes	Neither							
Pennsylvania	117	117	102	117	117	Automatic	Never	Always	Yes	500	500	Yes	Neither						0	
Puerto Rico	150	150	150	150	150	Automatic	Affiliates Only	Affiliates Only	No	500	500	Yes	Neither						0	
Rhode Island	60	60	60	60		Automatic	Always	Always	Yes	300	300	Yes	Notice File	100	100				100	

Current change(s) in (Green)

	Individual Fees					Individual Settings				BD Fees and Settings										
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South Carolina	110	110	110	110		Automatic	Affiliates Only	Affiliates Only	Yes	310	310	Yes	Neither						0	
South Dakota	125	125	125	125		Automatic	Affiliates Only	Affiliates Only	Yes	150	150	Yes	Notice File	0	0		0	0	0	
Tennessee	50	50	50	50	100	Home State	Always	Always	Yes	200	200	Yes	Notice File	0	0		0	0		
Texas	285	285	275	285	285	Automatic	Always	Always	Yes	275	270	Yes	Register	25	25	25	25	25	25	25
Utah	60	60	60	60	110	Automatic	Never	Always	Yes	200	200	Yes	Neither							
Vermont	60	60	60	60		Home State	Affiliates Only	Always	No	250	250	Yes	Register	100	100				100	
Virgin Islands	50	50	50	50	50	Home State	Affiliates Only	Always	Yes	200	200	Yes							0	0
Virginia	30	30	30	30		Automatic	Never	Always	Yes	200	200	Yes	Neither						0	
Washington	40	25	20	25		Automatic	Always	Always	Yes	150	75	Yes	Neither						0	
West Virginia	80	80	65	80		Automatic	Never	Always	Yes	250	250	Yes	Notice File	50	50				50	
Wisconsin	80	80	80	80	160	Automatic	Affiliates Only	Always	Yes	400	200	Yes	Notice File	80	80		160	160	80	160
Wyoming	35	35	35			Automatic	Always		Yes	200	200	Yes	Neither							
AMEX	60	40	50			SuperAutomatic	Always	N/P	No			No	Neither							
BX (BSE)	60	40	0			SuperAutomatic	Always	N/P	No		3000	Yes	Neither							
CBOE	0	0	0			SuperAutomatic	Always	N/P	No	100		Yes	Neither							
CHX						SuperAutomatic	Always	N/P	No			No	Neither							
NSX						SuperAutomatic	Always	N/P	No			No	Neither							
FINRA	85	85	30	85		Automatic	Always	N/P	No			Yes	Notice File	75	75				95	
NQX	55	55	0			SuperAutomatic	Always			0	3000	Yes	Register							
NYSE	0	0	0	0		SuperAutomatic	Always	N/P	No			Yes	Register							
PHLX	0	0	0			SuperAutomatic	Always	N/P	No			No	Neither							
ARCA	55	55	55			SuperAutomatic	Always	N/P	No			No	Neither							
ISE	^ 0	^ 0	0			SuperAutomatic	Always	N/P	No			Yes	Neither							
BATS	0	0	0		0	SuperAutomatic				0	0	Yes								0

**Transfer / Relicense fee and Transfer Time Period:**

Regulators may designate a discounted fee for individuals requesting registration within a certain time limit since their last approved registration within that jurisdiction or SRO. Regulators who choose to participate will show a discounted fee in this column.

**Individual Registration Termination Fee:**

The following SROs charge a fee for individual registration termination:

Financial Industry Regulatory Authority - \$40 AMEX - \$35 ARCA, PHLX - \$30

**Individual Registration Review Methods:**

- For *Jurisdictions*, the review method may be Manual, Automatic, or 'Home State'.
  - Home State - This is essentially the same as automatic, with the exception that applicants with a residential address in that jurisdiction will be reviewed manually.
- For *SROs*, the review method may be Manual, Automatic or SuperAutomatic.
  - SuperAutomatic - Regardless of whether there is any new or updated disclosure, a SuperAutomatic setting denotes that if an individual's registration request is non-deficient and is approved by Financial Industry Regulatory Authority, the individual's registration will also be approved by that SRO. With the same conditions, where there is no Financial Industry Regulatory Authority registration request, a non-deficient registration request will systematically approve with that SRO.

**Dual Registrations:**

- Always = dual registrations are permitted.
- Never = dual registrations are prohibited. Dual deficiencies will be applied. Please contact the state directly for any exceptions.
- Affiliates Only = Dual registrations are permitted for employment with affiliated firms. The term 'affiliate' is defined on Form U4 as any firm under common ownership or control. Dual deficiencies will be applied to requests for dual or multiple registrations with firms that are not affiliated. The system will not recognize firms as affiliated until the filing firm reports the affiliated firm under Question 10A or 10B on the Form BD, or Item 7A(3) on the Form ADV.

**S63 requirement:**

- This indicates whether the jurisdiction requires the S63 exam for state registration.

Dual Branch Office Fee and Dual BR Renewal Fee – this fee will apply to branch offices filing as both BD and IA branches. The dual fee will apply in full when filing both sides (BD and IA) simultaneously. Should a branch already be filed as one of the two, the dual fee MINUS the fee already paid will apply. For example, if already filed as a BD branch, and then filing as an IA branch, the fee will be the dual fee minus the BD fee.