

## IA Standard Fees And Settings\*

	Registration and Notice Filing Fees							Branch Office Fees				
	Set Notice filings to "Reviewed"?	Set Brochure filings to delivered?	Brochure Mandatory Date	Firm Registration Fee	Firm Reg Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	IA Branch Office Fee	Branch Renewal Fee	Branch Mass Transfer Fee	Branch Mass Transfer Dual Fee	Form BR Amendment Fee
Alabama	No	No		\$250.00	\$250.00	\$250.00	\$250.00	\$0.00	\$0.00	\$0.00		
Alaska	Yes	Yes		\$250.00	\$250.00	\$250.00	\$250.00	\$0.00	\$0.00	\$0.00		
Arizona	No	Yes		\$250.00	\$250.00	\$250.00	\$250.00			\$0.00		
Arkansas	No	Yes		\$300.00	\$300.00	\$300.00	\$300.00	\$50.00	\$50.00	\$50.00	\$100.00	
California	No	Yes	2/14/2008	\$125.00	\$125.00	\$125.00	\$125.00			\$0.00		
Colorado	Yes	Yes		\$69.00	\$69.00	\$69.00	\$69.00					
Connecticut	Yes	Yes		\$315.00	\$190.00	\$250.00	\$150.00	\$100.00	\$0.00	\$100.00		\$100.00
Delaware	No	Yes		\$250.00	\$250.00	\$250.00	\$250.00			\$0.00		
District of Columbia	Yes	No		\$250.00	\$250.00	\$250.00	\$250.00					
Florida	No	No		\$200.00	\$200.00	\$200.00	\$200.00	\$100.00	\$100.00			
Georgia	Yes	Yes		\$250.00	\$100.00	\$250.00	\$100.00					
Hawaii	Yes	Yes		\$50.00	\$50.00	\$50.00	\$50.00	\$0.00	\$0.00	\$0.00		
Idaho	Yes	No		\$150.00	\$150.00	\$30.00	\$30.00	\$0.00	\$0.00			
Illinois	No	No		\$400.00	\$400.00	\$400.00	\$400.00	\$0.00	\$0.00	\$0.00		
Indiana	Yes	Yes		\$100.00	\$50.00	\$50.00	\$50.00					
Iowa	No	No		\$100.00	\$100.00	\$100.00	\$100.00			\$0.00		
Kansas	No	Yes		\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00	\$0.00		
Kentucky	Yes	No		\$100.00	\$100.00	\$100.00	\$100.00					
Louisiana	No	Yes		\$150.00	\$150.00	\$150.00	\$150.00					
Maine	Yes	Yes		\$200.00	\$200.00	\$200.00	\$200.00	\$50.00	\$30.00	\$50.00	\$50.00	
Maryland	No	No		\$300.00	\$300.00	\$300.00	\$300.00			\$0.00	\$0.00	
Massachusetts	No	No		\$300.00	\$300.00	\$300.00	\$300.00			\$0.00		
Michigan	Yes	No		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00	\$0.00	\$0.00
Minnesota	Yes	Yes		\$100.00	\$100.00	\$100.00	\$100.00					
Mississippi	Yes	Yes		\$200.00	\$200.00	\$200.00	\$200.00					
Missouri	Yes	Yes		\$200.00	\$100.00	\$200.00	\$100.00			\$0.00		
Montana	Yes	No		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		
Nebraska	No	Yes		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		
Nevada	Yes	Yes		\$300.00	\$300.00	\$300.00	\$300.00					\$0.00
New Hampshire	No	Yes		\$250.00	\$200.00	\$250.00	\$200.00			\$0.00		
New Jersey	No	Yes		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		
New Mexico	No	Yes	2/3/2010	\$300.00	\$300.00	\$300.00	\$300.00	\$0.00	\$0.00	\$0.00		
New York	No	No		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		
North Carolina	Yes	Yes		\$300.00	\$300.00	\$300.00	\$300.00					
North Dakota	Yes			\$100.00	\$100.00	\$100.00	\$100.00			\$0.00		
Ohio	Yes	Yes	1/15/2009	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00			
Oklahoma	No	No		\$300.00	\$300.00	\$300.00	\$300.00			\$0.00		
Oregon	Yes	No		\$200.00	\$200.00	\$200.00	\$200.00					
Pennsylvania	Yes	No		\$350.00	\$350.00	\$350.00	\$350.00			\$0.00		
Puerto Rico	Yes	Yes		\$500.00	\$500.00	\$500.00	\$500.00			\$0.00		
Rhode Island	Yes	Yes		\$300.00	\$300.00	\$250.00	\$250.00			\$0.00		\$0.00
South Carolina	Yes	No		\$210.00	\$210.00	\$210.00	\$210.00			\$0.00		
South Dakota	No	No		\$100.00	\$100.00	\$200.00	\$200.00	\$0.00	\$0.00	\$0.00		
Tennessee	No	Yes		\$200.00	\$200.00	\$100.00	\$100.00	\$0.00	\$0.00			
Texas	No	Yes		\$275.00	\$270.00	\$275.00	\$270.00	\$25.00	\$25.00	\$25.00	\$25.00	\$25.00
Utah	Yes	No		\$50.00	\$50.00	\$100.00	\$100.00					
Vermont	No	Yes		\$250.00	\$250.00	\$250.00	\$250.00			\$0.00		\$0.00
Virgin Islands	Yes			\$200.00	\$200.00	\$100.00	\$100.00			\$0.00	\$0.00	
Virginia	Yes	No	2/2/2009	\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		
Washington	Yes	No		\$150.00	\$75.00	\$150.00	\$75.00			\$0.00		
West Virginia	Yes	Yes		\$200.00	\$200.00	\$200.00	\$200.00			\$0.00		\$0.00
Wisconsin	Yes	Yes		\$400.00	\$200.00	\$200.00	\$200.00	\$80.00	\$80.00	\$80.00	\$160.00	
Wyoming												
BX (BSE)												

\*Please see the "Special Fees and Settings Schedule" for fees and settings related to joint IA/BD filing firms, firms switching to (or maintaining both) a registration/notice filing status, and branch offices filing as BD and IA branches.

'Set Notice Filings to "Reviewed?"' – this setting indicates whether a jurisdiction will automatically set a notice filing to a 'reviewed' status ('Y') or whether the jurisdiction will review each notice filing manually ('N').

Please note that the state of Wyoming has indicated to Financial Industry Regulatory Authority that they do not currently regulate investment adviser firms. Please contact the state for more information.

Current change(s) in (Green)

## IA Special Fees and Settings\*

	Joint IA/BD Fees				Switching/Dual Registration/Notice Filing Status				Special Branch Fees	
	IA Registration Fee	IA Firm Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	Reg Fee if firm is Notice Filed	Notice Filing Fee if firm is reg'd IA	Reg Renewal Fee if firm is Notice filed	Notice Filing Renewal Fee if firm is reg'd	Dual Branch Office Fee	Dual BR Renewal Fee
Alabama	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$0.00	\$0.00
Alaska	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$0.00	\$0.00
Arizona	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00		
Arkansas	\$300.00	\$300.00	\$300.00	\$300.00	\$0.00	\$0.00	\$0.00	\$0.00	\$100.00	
California	\$0.00	\$0.00	\$125.00	\$125.00	\$125.00	\$0.00	\$125.00	\$125.00		
Colorado	\$69.00	\$69.00	\$69.00	\$69.00	\$0.00	\$0.00	\$69.00	\$69.00		
Connecticut	\$315.00	\$190.00	\$250.00	\$150.00	\$315.00	\$250.00	\$190.00	\$150.00	\$200.00	\$0.00
Delaware	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00		
District of Columbia	\$250.00	\$250.00	\$250.00	\$250.00	\$0.00	\$0.00	\$250.00	\$250.00		
Florida	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00
Georgia	\$250.00	\$100.00	\$250.00	\$100.00	\$250.00	\$250.00	\$100.00	\$100.00		
Hawaii	\$50.00	\$50.00	\$50.00	\$50.00	\$50.00	\$50.00	\$50.00	\$50.00	\$0.00	\$0.00
Idaho	\$150.00	\$150.00	\$30.00	\$30.00	\$0.00	\$0.00	\$150.00	\$30.00	\$0.00	\$0.00
Illinois	\$400.00	\$400.00	\$400.00	\$400.00	\$0.00	\$0.00	\$400.00	\$400.00	\$20.00	\$20.00
Indiana	\$100.00	\$50.00	\$50.00	\$50.00	\$100.00	\$50.00	\$50.00	\$50.00		
Iowa	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00	\$100.00	\$100.00		
Kansas	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00
Kentucky	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00	\$100.00	\$100.00		
Louisiana	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00	\$150.00		
Maine	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$50.00	\$30.00
Maryland	\$300.00	\$300.00	\$300.00	\$300.00	\$0.00	\$0.00	\$300.00	\$300.00		
Massachusetts	\$300.00	\$300.00	\$300.00	\$300.00	\$0.00	\$0.00	\$300.00	\$300.00		
Michigan	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
Minnesota	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00	\$100.00	\$100.00		
Mississippi	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
Missouri	\$0.00	\$0.00	\$0.00	\$0.00	\$200.00	\$200.00	\$100.00	\$100.00		
Montana	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
Nebraska	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
Nevada	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00		
New Hampshire	\$250.00	\$200.00	\$250.00	\$200.00	\$0.00	\$0.00	\$200.00	\$200.00		
New Jersey	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		
New Mexico	\$300.00	\$300.00	\$300.00	\$300.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
New York	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
North Carolina	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00		
North Dakota	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00		
Ohio	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$100.00	\$0.00	\$0.00
Oklahoma	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00		
Oregon	\$200.00	\$200.00	\$200.00	\$200.00	\$0.00	\$0.00	\$0.00	\$0.00		
Pennsylvania	\$350.00	\$350.00	\$0.00	\$0.00	\$350.00	\$0.00	\$350.00	\$350.00		
Puerto Rico	\$500.00	\$500.00	\$500.00	\$500.00	\$0.00	\$0.00	\$500.00	\$500.00		
Rhode Island	\$300.00	\$300.00	\$250.00	\$250.00	\$300.00	\$250.00	\$250.00	\$250.00		
South Carolina	\$210.00	\$210.00	\$210.00	\$210.00	\$0.00	\$0.00	\$210.00	\$210.00		
South Dakota	\$100.00	\$100.00	\$200.00	\$200.00	\$100.00	\$200.00	\$200.00	\$200.00	\$0.00	\$0.00
Tennessee	\$200.00	\$200.00	\$100.00	\$100.00	\$200.00	\$0.00	\$200.00	\$100.00	\$0.00	\$0.00
Texas	\$0.00	\$0.00	\$0.00	\$0.00	\$25.00	\$0.00	\$0.00	\$0.00	\$25.00	\$25.00
Utah	\$50.00	\$50.00	\$100.00	\$100.00	\$50.00	\$100.00	\$100.00	\$100.00		
Vermont	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00	\$250.00		
Virgin Islands	\$200.00	\$200.00	\$100.00	\$100.00	\$200.00	\$100.00	\$200.00	\$100.00		
Virginia	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$0.00	\$200.00	\$200.00		
Washington	\$150.00	\$75.00	\$150.00	\$75.00	\$0.00	\$0.00	\$75.00	\$75.00		
West Virginia	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00		
Wisconsin	\$400.00	\$200.00	\$200.00	\$200.00	\$400.00	\$200.00	\$200.00	\$200.00	\$160.00	\$160.00
Wyoming										
BX (BSE)										

\*Please reference the [IA Standard Fees and Settings Schedule](#) for fees and settings related to IA-only firms and branch offices that will only either be registered or notice filed.

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.

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Current change(s) in **(Green)**