

IA Settings and Standard Fees*

Fees As Of 11/4/2019

	IA Settings			Registration/Notice Filing/ERA Fees						Branch Office Fees					
	Set Notice filings to "Reviewed" or "Received"?	Set Brochure filings to "Delivered" or "Pending"?	Brochure Mandatory Date	Registration Fee	Registration Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	ERA Fee	ERA Renewal Fee	Branch Reqmt	IA Branch Office Fee	Branch Renewal Fee	Branch Mass Transfer Fee	Branch Mass Transfer Dual Fee	Form BR Amendment Fee
Alabama	Received	Pending		250	250	250	250	0	0	Notice File	0	0	0	0	0
Alaska	Reviewed	Delivered	12/1/2011	250	250	250	250	250	250	Notice File	0	0	0	75	0
Arizona	Reviewed	Delivered		250	250	250	250	125	125	Neither	0	0	0	0	0
Arkansas	Received	Delivered	5/28/2013	300	300	300	300	300	300	Register	50	50	50	100	0
California	Received	Delivered	2/14/2008	125	125	125	125	125	125	Neither	0	0	0	0	0
Colorado	Reviewed	Delivered		^ 25	^ 25	^ 25	^ 25	0	0	Neither	0	0	0	0	0
Connecticut	Reviewed	Delivered	5/9/2013	340	215	275	175	0	0	Register	125	0	125	250	125
Delaware	Received	Delivered		300	300	300	300	300	300	Neither	0	0	0	0	0
District of Columbia	Reviewed	Pending		250	250	250	250	250	250	Neither	0	0	0	0	0
Florida	Received	Pending	7/9/2013	200	200	200	200	0	0	Notice File	100	100	0	0	0
Georgia	Reviewed	Delivered	6/25/2013	250	100	250	100	0	0	Neither	0	0	0	0	0
Hawaii	Reviewed	Delivered		100	100	100	100	0	0	Notice File	0	0	0	0	0
Idaho	Reviewed	Delivered	5/9/2013	150	150	30	30	0	0	Notice File	0	0	0	0	0
Illinois	Received	Delivered		400	400	400	400	0	0	Notice File	0	0	0	0	0
Indiana	Reviewed	Delivered		100	50	50	50	0	0	Notice File	0	0	0	0	0
Iowa	Reviewed	Delivered	5/13/2013	100	100	100	100	0	0	Neither	0	0	0	0	0
Kansas	Received	Delivered	5/16/2013	100	100	100	100	0	0	Notice File	0	0	0	0	0
Kentucky	Reviewed	Pending	8/16/2013	100	100	100	100	0	0	Neither	0	0	0	0	0
Louisiana	Received	Delivered	5/9/2013	150	150	150	150	0	0	Neither	0	0	0	0	0
Maine	Reviewed	Delivered	12/22/2010	200	200	200	200	0	0	Register	50	30	50	50	0
Maryland	Received	Pending	4/4/2013	300	300	300	300	300	300	Neither	0	0	0	0	0
Massachusetts	Received	Delivered		300	300	300	300	300	300	Neither	0	0	0	0	0
Michigan	Reviewed	Delivered	5/12/2011	200	200	200	200	200	200	Neither	0	0	0	0	0
Minnesota	Reviewed	Delivered		100	100	100	100	0	0	Neither	0	0	0	0	0
Mississippi	Reviewed	Delivered		200	200	200	200	0	0	Neither	0	0	0	0	0
Missouri	Reviewed	Delivered	5/29/2013	200	100	200	100	0	0	Neither	0	0	0	0	0
Montana	Received	Pending		400	400	400	400	0	0	Neither	0	0	0	0	0
Nebraska	Received	Delivered	5/13/2013	200	200	200	200	0	0	Neither	0	0	0	0	0
Nevada	Reviewed	Delivered	6/13/2013	300	300	300	300	0	0	Register	0	0	0	0	0
New Hampshire	Received	Delivered	5/9/2013	250	200	250	200	0	0	Notice File	0	0	0	0	0
New Jersey	Received	Delivered	5/13/2013	375	375	375	375	375	375	Neither	0	0	0	0	0
New Mexico	Received	Delivered	2/3/2010	300	300	300	300	300	300	Notice File	0	0	0	0	0
New York	Reviewed	Delivered	3/31/2011	200	200	200	200	0	0	Neither	0	0	0	0	0
North Carolina	Reviewed	Delivered		300	300	300	300	0	0	Neither	0	0	0	0	0
North Dakota	Reviewed	Delivered	5/16/2013	100	100	100	100	0	0	Neither	0	0	0	0	0
Ohio	Reviewed	Delivered	1/15/2009	100	100	100	100	0	0	Notice File	0	0	0	0	0
Oklahoma	Received	Pending		300	300	300	300	300	300	Neither	0	0	0	0	0
Oregon	Reviewed	Delivered	8/16/2013	200	200	200	200	0	0	Neither	0	0	0	0	0
Pennsylvania	Reviewed	Delivered		400	400	350	350	0	0	Neither	0	0	0	0	0
Puerto Rico	Reviewed	Delivered		500	500	500	500	0	0	Notice File	0	0	0	0	0
Rhode Island	Reviewed	Delivered		300	300	300	300	300	300	Notice File	0	0	0	0	0
South Carolina	Reviewed	Delivered	7/8/2015	210	210	210	210	210	210	Neither	0	0	0	0	0
South Dakota	Received	Pending	5/9/2013	100	100	200	200	0	0	Notice File	0	0	0	0	0
Tennessee	Received	Delivered	6/13/2013	200	200	100	100	0	0	Notice File	0	0	0	0	0
Texas	Received	Delivered	5/16/2013	75	40	75	40	0	0	Notice File	0	0	0	0	0
Utah	Reviewed	Delivered	5/9/2013	50	50	100	100	0	0	Neither	0	0	0	0	0

IA Settings and Standard Fees*

Fees As Of 11/4/2019

	<u>IA Settings</u>			<u>Registration/Notice Filing/ERA Fees</u>						<u>Branch Office Fees</u>					
	Set Notice filings to "Reviewed" or "Received"?	Set Brochure filings to "Delivered" or "Pending"?	Brochure Mandatory Date	Registration Fee	Registration Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	ERA Fee	ERA Renewal Fee	Branch Reqmt	IA Branch Office Fee	Branch Renewal Fee	Branch Mass Transfer Fee	Branch Mass Transfer Dual Fee	Form BR Amendment Fee
Vermont	Received	Delivered		300	300	300	300	300	300	Register	120	120	120	240	0
Virgin Islands	Reviewed			200	200	100	100	100	100	Register	100	100	100	100	0
Virginia	Reviewed	Pending	2/2/2009	200	200	200	200	250	250	Neither	0	0	0	0	0
Washington	Reviewed	Pending	5/9/2013	160	85	160	85	0	0	Notice File	0	0	0	0	0
West Virginia	Reviewed	Delivered		200	200	200	200	200	200	Notice File	60	60	60	120	0
Wisconsin	Reviewed	Delivered	10/24/2011	400	200	200	200	0	0	Notice File	80	80	80	160	0
Wyoming	Reviewed	Pending		250	250	250	250	0	0	Neither	0	0	0	0	0

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

Notice Filing Statuses: Reviewed (Automatic) and Received (Manually Reviewed).

Brochure Filing Statuses: Delivered (Automatic) and Pending (Manually Reviewed).

Brochure Mandatory Date: Blank column appears if the state has not mandated brochures (ADV Part 2) to be filed electronically via IARD.

Dual Branch Office Fee and Dual BR Renewal Fee applies 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.
- If a branch is already registered as BD or IA, the dual fee minus the fee already paid will apply. (i.e.; Already filed as a BD branch, then files as an IA branch, the fee will be the Dual fee minus the BD fee.)

Current change(s) in (^ Green)

IA Special Fees*
Fees As Of 11/4/2019

	Joint IA/BD Fees						Switching/Dual Registration/Notice Filing Status				ERA Switching/Dual Registration/Notice Filing Status						Special Branch Fees	
	Registration Fee	Registration Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	ERA Fee	ERA 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	Reg Fee if ERA is reg'd BD	Notice Filing Fee if ERA is reg'd BD	Reg Fee if ERA	Notice Filing Fee if ERA	Reg Fee if ERA is reg'd BD (to SEC State)	Reg Fee if ERA (to SEC State)	Dual Branch Office Fee	Dual BR Renewal Fee
Alabama	250	250	250	250	0	0	250	250	250	250	250	250	250	250	250	250	0	0
Alaska	250	250	250	250	250	250	250	250	250	250	250	250	250	250	250	250	75	75
Arizona	250	250	250	250	125	125	250	250	250	250	250	250	250	250	250	250	0	0
Arkansas	300	300	300	300	300	300	0	0	0	0	0	0	0	0	300	300	100	100
California	0	0	125	125	0	0	125	125	125	125	0	0	125	125	0	125	0	0
Colorado	^ 25	^ 25	^ 25	^ 25	0	0	0	0	^ 25	^ 25	0	0	0	0	0	0	0	0
Connecticut	340	215	275	175	0	0	340	275	215	175	340	275	340	275	340	340	250	0
Delaware	300	300	300	300	300	300	300	300	300	300	300	300	300	300	300	300	0	0
District of Columbia	250	250	250	250	0	250	0	0	250	250	250	0	0	0	0	0	0	0
Florida	200	200	200	200	0	0	200	200	200	200	200	200	200	200	400	400	200	200
Georgia	250	100	250	100	0	0	250	250	100	100	250	250	250	250	250	250	0	0
Hawaii	100	100	100	100	0	0	100	100	100	100	100	100	100	100	100	100	0	0
Idaho	150	150	30	30	0	0	0	0	150	30	150	30	150	30	180	180	0	0
Illinois	400	400	400	400	0	0	0	0	400	400	0	0	0	0	0	0	20	20
Indiana	100	50	50	50	0	0	100	50	50	50	0	0	0	0	0	0	0	0
Iowa	100	100	100	100	0	0	0	0	100	100	0	0	0	0	0	0	0	0
Kansas	100	100	100	100	0	0	100	100	100	100	0	0	0	0	0	0	0	0
Kentucky	100	100	100	100	0	0	0	0	100	100	0	0	0	0	0	0	0	0
Louisiana	150	150	150	150	0	0	150	150	150	150	0	0	150	150	0	0	0	0
Maine	200	200	200	200	0	0	200	200	200	200	200	200	200	200	200	200	50	30
Maryland	300	300	300	300	300	300	0	0	300	300	0	0	0	0	300	300	0	0
Massachusetts	300	300	300	300	300	300	0	0	300	300	0	0	0	0	300	300	0	0
Michigan	200	200	200	200	200	200	0	200	200	200	200	200	200	200	200	200	0	0
Minnesota	100	100	100	100	0	0	0	0	100	100	0	0	0	0	0	0	0	0
Mississippi	200	200	200	200	0	0	200	200	200	200	200	200	200	200	200	200	0	0
Missouri	0	0	0	0	0	0	200	200	100	100	0	0	200	200	0	0	0	0
Montana	400	400	400	400	0	0	400	400	400	400	0	0	0	0	0	0	0	0
Nebraska	200	200	200	200	0	0	200	200	200	200	200	200	200	200	200	200	0	0
Nevada	300	300	300	300	0	0	300	300	300	300	300	300	300	300	300	300	0	0
New Hampshire	250	200	250	200	0	0	0	0	200	200	250	250	250	250	0	0	0	0
New Jersey	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
New Mexico	300	300	300	300	300	300	0	0	300	300	300	300	300	300	300	300	0	0
New York	200	200	200	200	0	0	200	200	200	200	200	200	200	200	200	200	0	0
North Carolina	300	300	300	300	0	0	300	300	300	300	0	0	0	0	0	0	0	0
North Dakota	100	100	100	100	0	0	100	100	100	100	0	0	0	0	0	0	0	0
Ohio	100	100	100	100	0	0	100	100	100	100	0	0	0	0	0	0	0	0
Oklahoma	300	300	300	300	300	300	300	300	300	300	300	300	300	300	300	300	0	0
Oregon	200	200	200	200	0	0	0	0	200	200	200	200	200	200	200	200	0	0
Pennsylvania	400	400	0	0	0	0	400	0	400	350	400	0	400	350	400	400	0	0
Puerto Rico	500	500	500	500	0	0	500	500	500	500	500	500	500	500	500	500	0	0
Rhode Island	300	300	300	300	300	300	0	0	300	300	300	300	300	300	0	0	0	0
South Carolina	210	210	210	210	210	210	210	210	210	210	210	210	210	210	210	210	0	0
South Dakota	100	100	200	200	0	0	100	200	300	300	100	200	100	200	300	300	0	0
Tennessee	200	200	100	100	0	0	200	0	200	100	200	100	200	100	200	200	0	0

IA Special Fees*
Fees As Of 11/4/2019

	Joint IA/BD Fees						Switching/Dual Registration/Notice Filing Status				ERA Switching/Dual Registration/Notice Filing Status						Special Branch Fees	
	Registration Fee	Registration Renewal Fee	Notice Filing Fee	Notice Filing Renewal Fee	ERA Fee	ERA 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	Reg Fee if ERA is reg'd BD	Notice Filing Fee if ERA is reg'd BD	Reg Fee if ERA	Notice Filing Fee if ERA	Reg Fee if ERA is reg'd BD (to SEC State)	Reg Fee if ERA (to SEC State)	Dual Branch Office Fee	Dual BR Renewal Fee
Texas	0	0	0	0	0	0	25	0	0	0	25	0	75	75	25	75	0	0
Utah	50	50	100	100	0	0	0	100	100	100	0	0	0	0	0	0	0	0
Vermont	300	300	300	300	0	0	300	300	300	300	0	0	0	0	0	0	240	240
Virgin Islands	200	200	100	100	100	100	200	100	200	100	200	100	200	100	200	200	100	100
Virginia	200	200	200	200	250	250	200	0	200	200	200	0	200	0	200	200	0	0
Washington	160	85	160	85	0	0	0	0	85	85	0	0	0	0	0	0	0	0
West Virginia	200	200	200	200	200	200	200	200	200	200	200	200	200	200	200	200	120	120
Wisconsin	400	200	200	200	0	0	200	200	200	200	400	200	400	200	400	400	160	160
Wyoming	250	250	250	250	0	0	0	0	250	250	250	250	250	250	250	250	0	0

*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 applies 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.
- If a branch is already registered as BD or IA, the dual fee *minus* the fee already paid will apply. (i.e.; Already filed as a BD branch, then files as an IA branch, the fee will be the Dual fee minus the BD fee.)

Current change(s) in (^ Green)