

## **FEE SCHEDULE**

Division of Securities

77 South High Street, 22<sup>nd</sup> Floor, Columbus, Ohio 43215 (614) 644-7381  
(Checks payable to the Ohio Division of Securities)

### **Exemptions from Registration Forms**

Form	Statute	Summary	Fee
3Q	RC 1707.03(Q)	Section 4(2) federally	\$100 for First calendar year filing \$50 for subsequent filings during calendar year
3W	RC1707.03(W)	Rule 505 of Reg D federally	\$100
Form D	RC 1707.03(X)	Rule 506 of Reg D federally	\$100
3Y	RC 1707.03(Y)	Accredited Investor	\$100

### **Registration Forms**

Form	Statute	Summary	Fee
6A1	RC1707.06(A)(1)	Registration by Description	\$50
6A2	RC1707.06(A)(2)	Registration by Description	\$50
6A3	RC1707.06(A)(3)	Registration by Description	\$50
6A4	RC1707.06(A)(4)	Registration by Description	\$50
09	RC 1707.09	Registration by Qualification	\$100 flat fee, plus A calculated fee of 1/10 of 1% Calculated fee has a minimum of \$100 and a maximum of \$1000
091	RC 1707.091	Registration by coordination	\$100 flat fee, plus A calculated fee of 1/10 of 1% Calculated fee has a minimum of \$100 and a maximum of \$1000
NF	RC 1707.092	Investment Company Notice filings	\$100 flat fee, plus A calculated fee of 1/10 of 1% Calculated fee has a minimum of \$100 and a maximum of \$1000

## **Corrective Filings**

Form	Statute	Summary	Fee
39	RC 1707.39	Corrective Filing	\$100 flat fee, plus A calculated fee of 1/5 of 1% Calculated fee has a minimum of \$100 and a maximum of \$1000
391	RC 1707.391	Corrective filing/ Presumption of excusable neglect	Twice the fee that would have been paid had the filing been timely submitted

## **Dealer and Salesperson Licensing Forms**

Form	Statute	Summary	Fee
BD	RC 1707.15	Dealer application/Dealer renewal	\$200
U4	RC 1707.16	Salesperson application/Salesperson renewal	\$60
18	RC 1707.18	Transfer of dealer license	\$50 plus \$15 per salesperson

## **Investment Adviser and Investment Adviser Representative Licensing Forms**

Form	Statute	Summary	Fee
ADV	RC 1707.141	Investment adviser (IA) Notice filing/Renewal	\$100
ADV	RC 1707.151	Investment adviser application (IA)/Renewal	\$100
U-4	RC 1707.161	Investment adviser representative (IAR) application/Renewal	\$35
18	RC 1707.18	Transfer of Investment Adviser (IA) license	\$50 plus \$15 per Investment Adviser Representative (IAR)