

SRO/Jurisdiction Fee and Setting Schedule - Web CRD

Fees As Of 7/1/2021

	Individual Fees					Individual Settings				BD Fees and Settings									
	Initial Reg	Transfer / Relicense*	Renewal	Mass Transfer	Mass Transfer Dual AG/RA	Registration Review Method	Dual AG	Dual AG/RA	S63 Requirement	BD Initial Reg	BD Renewal	Branch Reqmt	Branch Office	BR Renewal	Form BR Amd	Dual BR Office	Dual BR Renewal	Branch Mass Tran	BR Mass Tran Dual
Alabama	70	70	70	70	140	Automatic	Affiliates Only	Always	Yes	250	250	Notice File	0	0	0	0	0	0	0
Alaska	75	75	75	75	150	Automatic	Never	Affiliates Only	Yes	250	250	Notice File	75	75	0	75	75	75	75
Arizona	45	45	45	45	85	Home State	Affiliates Only	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
Arkansas	75	75	75	75	150	Automatic	Affiliates Only	Affiliates Only	Yes	300	300	Register	50	50	0	100	100	50	100
California	25	25	35	25	50	Automatic	Always	Always	Yes	300	75	Neither	0	0	0	0	0	0	0
Colorado	24	24	24	0	0	Automatic	Always	Always	No	98	98	Neither	0	0	0	0	0	0	0
Connecticut	125	100	125	75	150	Automatic	Affiliates Only	Always	Yes	340	215	Register	125	0	125	250	0	125	250
Delaware	65	65	65	65	130	Automatic	Always	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
District of Columbia	45	45	45	0	0	Automatic	Affiliates Only	Always	No	250	250	Neither	0	0	0	0	0	0	0
Florida	50	50	50	0	0	Automatic	Always	Always	No	200	200	Notice File	100	100	0	200	200	0	0
Georgia	50	30	40	0	0	Automatic	Always	Always	Yes	250	100	Neither	0	0	0	0	0	0	0
Hawaii	50	50	50	50	100	Automatic	Always	Always	Yes	200	200	Notice File	0	0	0	0	0	0	0
Idaho	50	50	50	0	0	Automatic	Always	Always	Yes	200	200	Notice File	0	0	0	0	0	0	0
Illinois	150	150	150	150	300	Automatic	Always	Always	Yes	600	600	Notice File	20	20	0	20	20	0	0
Indiana	25	25	25	25	25	Automatic	Never	Always	Yes	250	125	Notice File	0	0	0	0	0	0	0
Iowa	40	40	40	40	70	Automatic	Affiliates Only	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Kansas	^ 0	^ 0	^ 0	^ 0	^ 0	Automatic	Affiliates Only	Always	Yes	^ 0	^ 0	Notice File	0	0	0	0	0	0	0
Kentucky	50	50	50	50	100	Automatic	Affiliates Only	Always	Yes	120	120	Neither	0	0	0	0	0	0	0
Louisiana	60	60	60	0	0	Automatic	Affiliates Only	Always	No	250	250	Neither	0	0	0	0	0	0	0
Maine	50	50	25	50	100	Home State	Affiliates Only	Always	Yes	250	250	Register	50	30	0	50	30	50	50
Maryland	50	50	50	50	100	Automatic	Always	Always	No	250	250	Neither	0	0	0	0	0	0	0
Massachusetts	75	75	75	75	125	Automatic	Never	Always	Yes	450	450	Neither	0	0	0	0	0	0	0
Michigan	65	65	65	65	65	Automatic	Affiliates Only	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
Minnesota	65	25	65	0	0	Automatic	Affiliates Only	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Mississippi	50	50	50	0	0	Automatic	Always	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Missouri	50	50	50	50	50	Automatic	Affiliates Only	Affiliates Only	Yes	200	100	Neither	0	0	0	0	0	0	0
Montana	100	100	100	100	200	Automatic	Always	Always	Yes	400	400	Neither	0	0	0	0	0	0	0
Nebraska	40	40	40	40	80	Automatic	Never	Always	Yes	250	250	Neither	0	0	0	0	0	0	0
Nevada	125	125	125	0	0	Automatic	Never	Always	Yes	300	300	Register	100	100	50	0	0	0	0
New Hampshire	130	130	100	25	50	Automatic	Affiliates Only	Always	Yes	300	250	Notice File	0	0	0	0	0	0	0
New Jersey	125	125	125	125	125	Automatic	Always	Always	Yes	450	450	Neither	0	0	0	0	0	0	0
New Mexico	50	50	50	50	100	Automatic	Affiliates Only	Always	Yes	300	300	Notice File	0	0	0	0	0	0	0
New York	70	60	37	30	30	Automatic	Always	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
North Carolina	125	125	125	125	0	Automatic	Never	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
North Dakota	60	60	60	60	110	Automatic	Always	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Ohio	60	60	60	15	30	Manual	Affiliates Only	Always	No	200	200	Notice File	0	0	0	0	0	0	0
Oklahoma	50	50	50	10	20	Automatic	Always	Always	Yes	300	300	Neither	0	0	0	0	0	0	0
Oregon	60	60	60	0	0	Automatic	Never	Never	Yes	250	250	Neither	0	0	0	0	0	0	0
Pennsylvania	135	135	120	135	135	Automatic	Never	Always	Yes	550	550	Neither	0	0	0	0	0	0	0
Puerto Rico	150	150	150	150	150	Automatic	Affiliates Only	Affiliates Only	No	500	500	Notice File	0	0	0	0	0	0	0
Rhode Island	75	75	75	75	135	Automatic	Affiliates Only	Affiliates Only	Yes	300	300	Notice File	100	100	0	0	0	100	0
South Carolina	110	110	110	110	165	Automatic	Affiliates Only	Always	Yes	310	310	Neither	0	0	0	0	0	0	0
South Dakota	125	125	125	125	175	Automatic	Affiliates Only	Affiliates Only	Yes	150	150	Notice File	0	0	0	0	0	0	0

Current change(s) in (^ Green)

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Tennessee	50	50	50	50	100	Home State	Always	Always	Yes	200	200	Notice File	0	0	0	0	0	0	0
Texas	35	35	20	35	35	Automatic	Always	Always	Yes	75	40	Notice File	0	0	0	0	0	0	0
Utah	60	60	60	60	110	Automatic	Never	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Vermont	120	120	120	120	200	Home State	Affiliates Only	Always	Yes	300	300	Register	120	120	0	240	240	120	240
Virgin Islands	50	50	50	50	50	Home State	Affiliates Only	Always	Yes	200	200	Register	100	100	0	100	100	100	100
Virginia	40	40	40	40	80	Automatic	Never	Always	Yes	200	200	Neither	0	0	0	0	0	0	0
Washington	50	25	30	25	50	Automatic	Always	Always	Yes	160	85	Notice File	0	0	0	0	0	0	0
West Virginia	96	96	78	96	201	Automatic	Never	Always	Yes	300	300	Notice File	60	60	0	120	120	60	120
Wisconsin	80	80	80	80	160	Automatic	Affiliates Only	Always	Yes	400	200	Notice File	80	80	0	160	160	80	160
Wyoming	45	45	45	0	0	Automatic	Always	Always	Yes	^ 250	^ 250	Neither	0	0	0	0	0	0	0
BOX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
BX	0	0	0	0	0	SuperAutomatic				0	3000	Neither	0	0	0	0	0	0	0
CBOE	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
CBOE BYX	0	0	0	0	0	SuperAutomatic				0	2500	Neither	0	0	0	0	0	0	0
CBOE BZX	0	0	0	0	0	SuperAutomatic				0	2500	Neither	0	0	0	0	0	0	0
CBOE C2	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
CBOE EDGA	0	0	0	0	0	SuperAutomatic				0	2500	Neither	0	0	0	0	0	0	0
CBOE EDGX	0	0	0	0	0	SuperAutomatic				0	2500	Neither	0	0	0	0	0	0	0
FINRA	100	100	45	100	0	Automatic				0	0	Notice File	75	0	0	0	0	75	0
IEX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
ISE	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
ISE GEMX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
ISE MRX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
LTSE	0	0	0	0	0	SuperAutomatic				0	10000	Neither	0	0	0	0	0	0	0
MEMX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
MIAX Emerald	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
MIAX Options	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
MIAX Pearl	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
NQX	55	55	0	0	0	SuperAutomatic				0	3000	Neither	0	0	0	0	0	0	0
NYSE	0	0	0	0	0	SuperAutomatic				0	0	Register	0	0	0	0	0	0	0
NYSE-AMER	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
NYSE-ARCA	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
NYSE-CHI	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
NYSE-NAT	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0
PHLX	0	0	0	0	0	SuperAutomatic				0	0	Neither	0	0	0	0	0	0	0

FINRA Branch Office tiered fee structure: \$75-175 based on # of branches registered. Note: FINRA waives one Branch Office System Processing Fee and one Annual Branch Office Renewal Fee per year. For more info, see FINRA Regulatory Notice 12-32

Individual Registration Review Methods:

- **Jurisdictions** review methods: **Manual, Automatic or Home State.**
 - **Home State:** Similar to Automatic, but applicants with a residential address in that jurisdiction will be reviewed Manually.
- **SROs** review methods: **Manual, Automatic or SuperAutomatic.**
 - **SuperAutomatic:** if an individual's registration is non-deficient, the registration will also be approved for that SRO (even if there is new or updated disclosure.)

Dual Registrations:

- **Always:** Dual registrations permitted.
- **Never:** Dual registrations prohibited. Please contact the state directly for exceptions.
- **Affiliates Only:** Dual registrations permitted for employment with affiliated firms (any firm under common ownership or control.) The system only recognizes a firm as affiliated if the filing firm already reported the affiliate firm under Question 10A or 10B on the Form BD, or Item 7A(3) on the Form ADV.

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)