

SRO/Jurisdiction Fee and Setting Schedule - Web CRD

Fees As Of 8/26/2024

	Individual Fees					Individual Settings					BD Fees and Settings										
	Initial Reg	Transfer / Relicense*	Renewal	Mass Transfe	Mass Transfer Dual AG/RA	Registration Review Method	Dual AG	Dual AG/RA	S63 Required	Accepts AG EVEP	BD Initial Reg	BD Renewal	BD Branch Reqmt	Accepts RSL*	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	N	250	250	Notice File	Yes	0	0	0	0	0	0	0
Alaska	75	75	75	75	150	Automatic	Never	Affiliates Only	Yes	N	250	250	Notice File	No	75	75	0	75	75	75	75
Arizona	45	45	45	45	85	Home State	Affiliates Only	Always	Yes	N	300	300	Neither	--	0	0	0	0	0	0	0
Arkansas	75	75	75	75	150	Automatic	Affiliates Only	Affiliates Only	Yes	N	300	300	Register	Yes	50	50	0	100	100	50	100
California	25	25	35	25	50	Automatic	Always	Always	Yes	N	300	75	Neither	--	0	0	0	0	0	0	0
Colorado	20	0	20	0	0	Automatic	Always	Always	No	N	85	85	Neither	--	0	0	0	0	0	0	0
Connecticut	125	100	125	75	150	Automatic	Affiliates Only	Always	Yes	N	340	215	Register	Yes	125	0	125	250	0	125	250
Delaware	65	65	65	65	130	Automatic	Always	Always	Yes	N	300	300	Neither	--	0	0	0	0	0	0	0
District of Columbia	45	45	45	0	0	Automatic	Affiliates Only	Always	No	N	250	250	Neither	--	0	0	0	0	0	0	0
Florida	50	50	50	0	0	Automatic	Always	Always	No	Yes	200	200	Notice File	No	100	100	0	200	200	0	0
Georgia	55	35	45	0	0	Automatic	Always	Always	Yes	N	255	105	Neither	--	0	0	0	0	0	0	0
Hawaii	50	50	50	50	100	Automatic	Always	Always	Yes	N	200	200	Notice File	Yes	0	0	0	0	0	0	0
Idaho	50	50	50	0	0	Automatic	Always	Always	Yes	N	200	200	Notice File	Yes	0	0	0	0	0	0	0
Illinois	150	150	150	150	300	Automatic	Always	Always	Yes	N	600	600	Notice File	Yes	20	20	0	40	40	20	40
Indiana	25	25	25	25	25	Automatic	Affiliates Only	Always	Yes	N	250	125	Notice File	Yes	0	0	0	0	0	0	0
Iowa	40	40	40	40	70	Automatic	Affiliates Only	Always	Yes	N	200	200	Neither	--	0	0	0	0	0	0	0
Kansas	30	30	30	30	60	Automatic	Affiliates Only	Always	Yes	N	100	100	Notice File	Yes	0	0	0	0	0	0	0
Kentucky	50	50	50	50	100	Automatic	Affiliates Only	Always	Yes	N	120	120	Neither	--	0	0	0	0	0	0	0
Louisiana	60	60	60	0	0	Automatic	Affiliates Only	Always	No	N	250	250	Neither	--	0	0	0	0	0	0	0
Maine	50	50	25	50	100	Home State	Affiliates Only	Always	Yes	N	250	250	Register	Yes	50	30	0	50	30	50	50
Maryland	50	50	50	50	100	Automatic	Always	Always	No	N	250	250	Neither	--	0	0	0	0	0	0	0
Massachusetts	75	75	75	75	125	Automatic	Never	Always	Yes	N	450	450	Neither	--	0	0	0	0	0	0	0
Michigan	65	65	65	65	65	Automatic	Affiliates Only	Always	Yes	N	300	300	Neither	--	0	0	0	0	0	0	0
Minnesota	65	25	65	0	0	Automatic	Affiliates Only	Always	Yes	Yes	200	200	Neither	--	0	0	0	0	0	0	0
Mississippi	50	50	50	0	0	Automatic	Always	Always	Yes	Yes	200	200	Neither	--	0	0	0	0	0	0	0
Missouri	50	50	50	50	50	Automatic	Affiliates Only	Affiliates Only	Yes	N	200	100	Neither	--	0	0	0	0	0	0	0
Montana	100	100	100	100	200	Home State	Affiliates Only	Always	Yes	N	400	400	Neither	--	0	0	0	0	0	0	0
Nebraska	40	40	40	40	80	Automatic	Never	Always	Yes	N	250	250	Neither	--	0	0	0	0	0	0	0
Nevada	125	125	125	0	0	Automatic	Never	Always	Yes	N	300	300	Register	No	100	100	50	0	0	0	0
New Hampshire	130	130	100	25	50	Automatic	Affiliates Only	Always	Yes	N	300	250	Notice File	No	0	0	0	0	0	0	0
New Jersey	125	125	125	125	125	Automatic	Always	Always	Yes	N	450	450	Neither	--	0	0	0	0	0	0	0
New Mexico	50	50	50	50	100	Automatic	Affiliates Only	Always	Yes	N	300	300	Notice File	No	0	0	0	0	0	0	0
New York	70	60	37	30	30	Automatic	Always	Always	Yes	N	300	300	Neither	--	0	0	0	0	0	0	0
North Carolina	125	125	125	125	200	Automatic	Never	Always	Yes	N	300	300	Neither	--	0	0	0	0	0	0	0
North Dakota	60	60	60	60	110	Automatic	Always	Always	Yes	N	200	200	Neither	--	0	0	0	0	0	0	0
Ohio	60	60	60	15	30	Manual	Affiliates Only	Always	Yes	N	200	200	Notice File	Yes	0	0	0	0	0	0	0
Oklahoma	50	50	50	10	20	Automatic	Always	Always	Yes	^ Yes	300	300	Neither	N/A	0	0	0	0	0	0	0
Oregon	60	60	60	0	0	Automatic	Never	Never	Yes	N	250	250	Neither	--	0	0	0	0	0	0	0
Pennsylvania	135	135	120	135	135	Automatic	Never	Always	Yes	N	550	550	Neither	--	0	0	0	0	0	0	0
Puerto Rico	150	150	150	150	150	Automatic	Affiliates Only	Affiliates Only	No	N	500	500	Notice File	Yes	0	0	0	0	0	0	0
Rhode Island	100	100	100	100	160	Automatic	Affiliates Only	Affiliates Only	Yes	N	300	300	Notice File	Yes	100	100	0	0	0	100	0
South Carolina	110	110	110	110	165	Automatic	Affiliates Only	Always	Yes	Yes	310	310	Neither	--	0	0	0	0	0	0	0
South Dakota	125	125	125	125	175	Automatic	Affiliates Only	Affiliates Only	Yes	N	150	150	Notice File	No	0	0	0	0	0	0	0

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Tennessee	50	50	50	50	100	Home State	Always	Always	Yes	N	200	200	Notice File	Yes	0	0	0	0	0	0	0
Texas	35	35	20	35	35	Automatic	Always	Always	Yes	N	75	40	Notice File	No	0	0	0	0	0	0	0
Utah	40	40	40	40	70	Automatic	Never	Always	Yes	N	130	130	Neither	--	0	0	0	0	0	0	0
Vermont	145	145	145	145	225	Home State	Affiliates Only	Always	Yes	N	300	300	Register	No	120	120	0	240	240	120	240
Virgin Islands	50	50	50	50	50	Home State	Affiliates Only	Always	Yes	N	200	200	Register	No	100	100	0	100	100	100	100
Virginia	40	40	40	40	80	Automatic	Never	Always	Yes	N	200	200	Neither	--	0	0	0	0	0	0	0
Washington	50	25	30	25	50	Automatic	Always	Always	Yes	N	160	85	Notice File	No	0	0	0	0	0	0	0
West Virginia	96	96	78	96	201	Automatic	Never	Always	Yes	N	300	300	Notice File	No	60	60	0	120	120	60	120
Wisconsin	80	80	80	80	160	Automatic	Affiliates Only	Always	Yes	N	400	200	Notice File	Yes	80	80	0	160	160	80	160
Wyoming	45	45	45	0	0	Automatic	Always	Always	Yes	N	250	250	Neither	--	0	0	0	0	0	0	0
BOX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
BX	0	0	0	0	0	SuperAutomatic					0	3000		--	0	0	0	0	0	0	0
CBOE	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
CBOE BYX	0	0	0	0	0	SuperAutomatic					0	2500		--	0	0	0	0	0	0	0
CBOE BZX	0	0	0	0	0	SuperAutomatic					0	2500		--	0	0	0	0	0	0	0
CBOE C2	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
CBOE EDGA	0	0	0	0	0	SuperAutomatic					0	2500		--	0	0	0	0	0	0	0
CBOE EDGX	0	0	0	0	0	SuperAutomatic					0	2500		--	0	0	0	0	0	0	0
FINRA	125	125	70	125	0	Automatic					0	0	Notice File	Yes	75	75	0	0	0	75	0
IEX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
ISE	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
ISE GEMX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
ISE MRX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
LTSE	0	0	0	0	0	SuperAutomatic					0	0000		--	0	0	0	0	0	0	0
MEMX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
MIAX Emerald	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
MIAX Options	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
MIAX Pearl	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
MIAX Sapphire	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
NQX	55	55	0	0	0	SuperAutomatic					0	4000		--	0	0	0	0	0	0	0
NYSE	0	0	0	0	0	SuperAutomatic					0	0	Notice File	No	0	0	0	0	0	0	0
NYSE-AMER	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
NYSE-ARCA	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
NYSE-CHI	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
NYSE-NAT	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0
PHLX	0	0	0	0	0	SuperAutomatic					0	0		--	0	0	0	0	0	0	0

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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.)

RSL - Residential Supervisory Locations as defined in Supplementary Material .19 to FINRA Rule 3110

Response options:

- Yes – The jurisdiction does not require the registration/notice filing of branch offices that are designated as RSLs for FINRA
- No – The jurisdiction does require the registration/notice filing of branch offices that are designated as RSLs for FINRA
- N/A – The RSL rule is not applicable and the specific state's branch registration/notice filing requirements should be followed
- -- Jurisdiction does not register or notice file branch offices