

INVESTMENT PROTECTION (SECURITIES) FILING FEES			
Filing	Form	Fee	Paid To
Broker -Dealer	M-1 (Non-NASD) (NASD)	\$1,200 (Every 4 years) \$ 300 (Pro-rated fee per year)	NYS Dept. of Law
Salesperson	M-2	\$150 (Every 4 years) Initial NASD-- \$70	NYS Dept Of Law
Broker- Dealer	M-3 Amendment	\$30	NYS Dept. Of Law
Salesperson	M-4 Amendment	\$30 Re-employment after cancellation-- \$150 NASD transfer-- \$60	NYS Dept. of Law
Broker-Dealer	M-11	*exceeds \$500,000 ----- \$1,200 *under \$500,000----- \$ 300	NYS Dept. of Law
Broker -Dealer	F-99	(Non-Real Estate Offering) exceeds \$500,000---- \$1,200 under \$500,000--- \$ 300	NYS Dept. of Law
Broker - Dealer	F-99	(Real Estate Offering) *exceeds \$500,000---- \$1,950 *under \$500,000---- \$1,050	NYS Dept. Of Law
Securities Exemption- §359f (2)a,b,c,d, or e.	Verified petition or affidavit	\$300	NYS Dept of Law
Securities No Action/No Filing	By Letter	\$225	NYS Dept. of Law
Consent to Service of Process	U-2	\$35	NYS Dept of State
*State Notice		\$75	NYS Dept of State
*Further State Notice		Total \$150 \$75	
Commodities	CMBD	\$100	NYS Dept of Law
Commodities	CADV	\$100	NYS Dept of Law
Commodities Sales person	CM 2	\$25	NYS Dept of Law
Commodities	CM 3	\$10	NYS Dept of Law
Commodities Salesperson	CM 4	Initial fee \$10 re-employment after cancellation \$25	NYS Dept of Law
Franchise	UFRA-A, UFRA-B, UFRA-C, UFRA-E, UFRA-F	Initial Filing---- \$750 Renewal ---- \$150	NYS Dept of Law
Franchise Consent to Service of Process	UFRA D	\$35	NYS Dept. of State
Franchise Exemptions	Notice Of Appearance	\$150	NYS Dept of Law
Investment Advisors	Adv	\$200	NYS Dept. of Law
Mutual Funds/ Investment Cos	NF	\$1200	NYS Dept of Law
Freedom of Information Law	FOIL	1st 5 pages free \$.25 per page after	NYS Dept of Law
Theatrical	F-99; ATS; TD-1A, TD-2A	NO FEE	

All fees subject to change

Revised 8/26/03