

Government of the District of Columbia  
Department of Insurance, Securities and Banking



SECURITIES BUREAU FEES SCHEDULE

Broker-Dealer Fees	Fee	Notes
Firm license – initial and renewal	\$250.00	
Agent – initial and renewal	\$45.00	
Transfer of Agent License	\$45.00	
Fingerprint processing fee <a href="#">DCMR §26B130 (7) Fingerprint Requirement</a>	\$50.00	
<b>Investment Adviser Fees</b>		
Investment Adviser (state registered, ERA, and SEC-registered notice-filer)– initial and renewal	\$250.00	
Investment Adviser Representative – initial and renewal	\$45.00	
Transfer of Investment Adviser Representative License	\$45.00	
Fingerprint processing fee <a href="#">DCMR §26B130 (7) Fingerprint Requirement</a>	\$50.00	
<b>Securities Registration and Exempted Securities Notice Filing Fees</b>		For a detailed description of the Securities Registration and notice filing fees see: <a href="#">DCMR §26-B249 for</a>
Securities Registration by Coordination ( <a href="#">DCMR 26B-202</a> ), Coordination of Shelf Registration ( <a href="#">DCMR 26B-203, under SEC Rule 415 of 1933 Act</a> ), or Qualification ( <a href="#">DCMR 26B-204</a> )	0.1% of aggregate offering price: \$500 min. \$1500 max	
Securities Registration by Limited Offering Exemption ( <a href="#">DCMR 26B-244</a> )	0.1% of aggregate offering price: \$250 min. \$1500 max	
Securities Registration by Small Corporate Offering ( <a href="#">DCMR 26B-205</a> )	0.1% of aggregate offering price: \$250 min. \$1000 max	
Securities Bureau – Notice Filing Fees		
Notice Filing For Investment Filing for Unit Investment Trust ( <a href="#">DCMR 26B-240.6</a> )	\$400 notice filing fee (non-refundable)	Plus, the final fee of \$1300 per class OR 0.1% of gross sales in District - \$400 initial fee
18-month Notice Filing for Unit Investment Trust ( <a href="#">DCMR 26B-241</a> )	\$600 notice filing fee (non-refundable)	Plus, the final fee of \$1950 per class OR 0.1% of gross sales in District - \$600
Securities covered under SEC 18(B)(3), (B)(4)(C) <a href="#">DCMR 26B-241</a>	\$250 notice filing fee	
Securities – covered Section 18(B)(4)(D) SEC Regulation D, Rule 506 <a href="#">DCMR 26B-242</a>	\$250 notice filing fee	
Issuer Agent License Fee – initial or renewal	\$45.00	
Request for a No-Action or Interpretive Opinion Letter	\$250.00	
Exempt Securities per <a href="#">DCMR 26B-243</a>	\$100.00	