

Effective September 1, 2009

DEALER / AGENT, INVESTMENT ADVISER / INVESTMENT ADVISER REPRESENTATIVE REGISTRATION AND NOTICE FILING FEES	
Action	Fee⁺
Filing an original application for dealer or investment adviser registration	\$275 Act Sections 35.A(2) & 41(a)(1)
Filing a renewal application for dealer or investment adviser registration	\$270 Act Sections 35.A(3) ¹ & 41(a)(2)
Notice filing for a federal covered investment adviser	\$275 Act Sections 35.A(2) & 41(a)(1)
Renewal notice filing for a federal covered investment adviser	\$270 Act Sections 35.A(3) ¹ & 41(a)(2)
Filing an original application for each agent, officer, or investment adviser representative	\$285 Act Sections 35.A(4) ² & 41(a)(3)
Filing a renewal application for each agent, officer, or investment adviser representative	\$275 Act Sections 35.A(5) ³ & 41(a)(4)
Notice filing for each representative of a federal covered investment adviser	\$285 Act Sections 35.A(4) ² & 41(a)(3)
Renewal notice filing for a representative of a federal covered investment adviser	\$275 Act Sections 35.A(5) ³ & 41(a)(4)
Amendment to a registration certificate of a dealer or investment adviser or evidence of registration of an agent or investment adviser representative	\$25 Act Section 35.B(1)
Issuance of a duplicate certificate or evidence of registration	\$25 Act Section 35.B(1)
Filing a branch office registration	\$25 Act Section 35.B(1)
Filing a request to take the Texas Securities Law Examination	\$35 Act Section 35.B(5)
+ <i>Checks should be made payable to the "State Securities Board."</i>	

¹ At its June 24, 2003 meeting, the Board increased this fee by \$30. This fee increase is not mandated by the Texas Legislature. This notification is made pursuant to the General Appropriations Act, Article IX, Section 6.16.

² This fee was set by the Board at its July 24, 2009 meeting so that effective September 1, 2009, this fee was increased by \$50. This fee increase was not mandated by the Texas Legislature. This notification is made pursuant to the General Appropriations Act, Article IX, Section 6.16.

³ This fee was set by the Board at its July 24, 2009 meeting so that effective September 1, 2009, this fee was increased by \$25. Previously, at its June 24, 2003 meeting, the Board had increased this fee by \$30. These fee increases are not mandated by the Texas Legislature. This notification is made pursuant to the General Appropriations Act, Article IX, Section 6.16.