

### **OAR 441-049-1001 - Fees for Federal Covered Securities Notice Filings**

Pursuant to ORS 59.049, for new filings received on or after July 1, 2017 or renewal filings effective on or after July 1, 2017, the Director sets the following fees for notice filings for federal covered securities:

- (1) For an investment company, other than a unit investment trust, an initial filing fee of ~~\$545~~500 and renewal notice filing fee of ~~\$535~~500 per portfolio. Issuers may submit filings containing multiple portfolios, provided the portfolios are identified in the Form NF and correct fees are paid.
- (2) For a unit investment trust notice filing, an initial fee of \$500 per portfolio and a renewal fee of \$500 per portfolio. Issuers may submit filings containing multiple portfolios, provided the portfolios are identified in the Form NF and correct fees are paid.
- (3) For a notice filing for offerings to qualified purchasers, or of federally exempt securities or federally exempt transactions pursuant to section 18(b)(3) or (4), other than section 18(b)(4)(E), of the Securities Act of 1933, as amended, a fee of \$200. No renewal notice filing or fee is required.
- (4) For a Regulation D Rule 506 offering notice filing, a fee of \$250. No renewal notice filing or fee is required.

### **OAR 441-175-0002 - Fees for Licensing or Notice Filing of Firms and Individuals**

Pursuant to ORS 59.175, the director sets the following fees for licensing or notice filing of firms and individuals:

- (1) For a broker-dealer, an initial license fee of \$250 and a renewal license fee of \$250;
- (2) For a state investment adviser, an initial license fee of \$200 and a renewal license fee of \$200;
- (3) For a federal covered investment adviser, an initial notice filing fee of \$200 and a renewal notice filing fee of \$200;
- (4) For a broker-dealer salesperson, an initial license fee of \$60 and a renewal license fee of \$60;
- (5) For an investment adviser representative, an initial license fee of \$50 and a renewal license fee of \$50;
- (6) For an agent of an issuer, an initial license fee of ~~\$50~~60 and a renewal license fee of ~~\$50~~60; and

(7) For a filing for use of a trade name or an assumed business name, a one time fee of \$50.