

292.335 Fees for initial or renewal registration or notice filing.

- (1) The fee for initial or renewal registration shall be, for:
 - (a) A broker-dealer, one hundred twenty dollars (\$120);
 - (b) An investment adviser, one hundred dollars (\$100);
 - (c) An agent, fifty dollars (\$50);
 - (d) An investment adviser representative, fifty dollars (\$50); and
 - (e) The transfer of an agent or investment adviser representative, fifty dollars (\$50).
- (2) The fee for initial or renewal notice filings shall be one hundred dollars (\$100) for a covered adviser.
- (3) The fees required by subsections (1) and (2) of this section shall not be refundable.

Effective: July 15, 2010

History: Created 2010 Ky. Acts ch. 82, sec. 7, effective July 15, 2010.