
Regulatory Fees		
Description	Fee	Notes

The following fees will be collected and retained by FINRA via the Web CRDSM registration system for the registration of associated persons of Exchange Trading Permit Holder and TPH organizations that are not also FINRA members.

Web CRD SM Fees	General Registration Fees		Fee	Notes
		FINRA Non-Member Processing Fee		\$125
	FINRA Disclosure Processing Fee (U-4, U-5, Form BD & amendments)		\$(110) 155	For all registration, transfer, or termination filings with new or amended disclosure information or that require certification as well as any amendment to disclosure information.
	FINRA Annual System Processing Fee Assessed only during Renewals		\$45 \$70	\$45 through December 31, 2023. \$70 effective January 2, 2024.
	Fingerprint Processing Fees	Fee Per Card		Notes
		Paper	Electronic	
	Initial Submission	\$(44.50) 41.25	\$(29.50) 31.25	
	Second Submission	\$30.00	\$(15) 20.00	
	Third Submission	\$(44.50) 41.25	\$(29.50) 31.25	
	Other	\$30.00		Submitted by Trading Permit Holders or TPH organizations on behalf of their associated persons who have had their prints processed through a self-regulatory organization ("SRO") other than FINRA.
	Continuing Education Fees	Fee		Notes
	All Registration	\$(55) 18		
	Qualification Examination Waiver Request Fee	\$200 per exam waiver request		This fee is assessed to a Trading Permit Holder for each waiver request of a non-FINRA examination submitted by the Trading Permit Holder.
