

## **Nebraska Department of Banking and Finance – Securities Fees**

*Updated January 13, 2021*

*Note: Effective immediately, payment by corporate check or money order must be made using U.S. check or U.S. money order. Filers may also make payment using ACH or through NASAA EFD, as available. Any payments received via foreign check or foreign money order will be returned to the filer.*

### **Definite Mutual Funds**

**Annual Filing Fee:** One-tenth of one percent of the aggregate offering price of the federal covered securities under section 18(b)(2) of the Securities Act of 1933 which are to be offered in this state, but the filing fee shall in no case be less than one hundred dollars

**Additional Fee for Securities Sold in Excess of Amount for Which Filing Fee Was Paid (Oversales):** Three-tenths of one percent for the difference between the initial filing fee paid and the filing fee required for federal covered securities

### **Indefinite Mutual Funds**

**Annual Filing Fee:** \$1,000.00

**Additional Fee for Securities Sold in Excess of Amount for Which Filing Fee Was Paid:** One-tenth of one percent of the aggregate amount of securities sold up to first ten million dollars; one-twentieth of one percent of the remainder of the aggregate amount of securities sold

### **Unit Investment Trusts**

**Initial Filing Fee/Renewal Filing Fee:** \$100.00

**Additional Fee for Securities Sold in Excess of Amount for Which Filing Fee Was Paid:** One-tenth of one percent of the aggregate offering price of the excess securities sold

### **Reg A, Tier 2/Reg D, Rule 506/Certain Exempt Securities**

**Notice Filing Fee:** \$200.00

### **Registration by Coordination or Qualification**

**Annual Filing Fee:** One-tenth of one percent of the aggregate offering price of the securities which are to be offered in this state, but the fee shall in no case be less than one hundred dollars

**Registration of Excess Securities Sold (Oversales):** Three-tenths of one percent for the difference between the initial fee paid and the fee required for registration by coordination or qualification