

Agent of Broker-Dealers and Issuer-Dealers (initial and renewal)	\$ 40
Investment Adviser (initial and renewal)	\$200
Issuer-Dealer (initial and renewal)	\$100
Nebraska Securities Law Examination	\$ 5
Exemption Filings pursuant to 8-1111(16), 8-1110(5), and 8-1111(20)	\$200
Investment Adviser Representative (initial and renewal)	\$ 40
Notice Filings by Federal Covered Adviser (initial and renewal)	\$200
Notice Filing for Federal Covered Securities, Except Securities Issued By an Investment Company	\$200

003.02 With regard to fees for registration of securities, refer to Section 8-1108 of the Act as fees may vary depending upon the type of registration being sought.

003.03 With regard to fees for notice filings by investment companies, refer to Section 8-1108.03 of the Act, as fees are based on the amount of securities intended to be sold in Nebraska.

003.04 Fees are payable by corporate check or money order to the Nebraska Department of Banking and Finance or through a registration depository or electronic filing system recognized by the Director. Neither cash nor personal checks will be accepted.

004 RETENTION OF FEES UPON WITHDRAWAL OR DENIAL.

004.01 Upon withdrawal or denial of an application for registration as a broker-dealer, agent, investment adviser, investment adviser representative, or issuer-dealer, the entire fee shall be retained by the Department.

004.02 Upon withdrawal of a notice filing by a federal covered adviser, the entire fee shall be retained by the Department.

004.03 Upon withdrawal or denial of an application for registration of securities, one hundred dollars (\$100) shall be retained by the Department.

004.04 Upon the withdrawal of a notice filing for federal covered securities, except securities issued by an investment company, the entire fee shall be retained by the Department.

004.05 Upon withdrawal of a notice filing by an investment company, a fee of one hundred dollars (\$100) shall be retained by the Department.

004.06 Upon the withdrawal or denial of an exemption notice, the entire fee shall be retained by the Department.

005 EFFECTIVE DATE OF FILING. A document is filed when it is received in the office of the Department with the appropriate fee. A document so filed cannot be returned.

006 FORMS.

006.01 The following forms for the registration of securities, for the claim of exemption from registration, or for a notice filing of federal covered securities, must be used in Nebraska:

- **Form U-1 - Uniform Application for Registration of Securities
Application for Registration of Securities by Qualification
- **Form D - Notice of Sale of Securities Pursuant to Regulation D, Section 4(6), and/or Uniform Limited Offering Exemption
- **Form NF – Uniform Investment Company Notice Filing Form
- **Form U-2 – Uniform Consent to Service of Process
Indefinite Mutual Fund Sales Report for Nebraska
Indefinite Unit Investment Trust Sales Report for Nebraska
Form SODD – Securities Offering Disclosure Document

006.02 The following forms for the registration of broker-dealers and agents must be used in Nebraska:

- **Form BD - Uniform Application for Broker-Dealer Registration
- **Form BDW - Notice of Withdrawal from Registration as Broker-Dealer
- **Form U-2A - Corporate Resolution
- **Form U-2 – Uniform Consent to Service of Process
- **Form U-4 - Uniform Application for Securities Industry Registration or Transfer
- **Form U-5 - Uniform Termination Notice for Securities Industry Registration
- **Form U-6 - Uniform Disciplinary Action Reporting
- **Form U-10 - Uniform Examination Request for [Non-NASD-Non-FINRA](#)
Candidates
Affidavit of Broker-Dealer Activity in Nebraska

006.03 The following forms for the registration of investment advisers and investment adviser representatives or for a notice filing by a federal covered adviser must be used in Nebraska:

- **Form ADV - Uniform Application for Investment Adviser Registration
- **Form ADV-W - Notice of Withdrawal from Registration as Investment Adviser
Form IAR - Designation of Compliance Principal and Investment Adviser Representative
Affidavit of Investment Adviser Activity in Nebraska
I-A Corporate Resolution
- **Form U-2A - Corporate Resolution
- **Form U-2 – Uniform Consent to Service of Process
- **Form U-4 - Uniform Application for Securities Industry Registration or Transfer

- **Form U-5 - Uniform Termination Notice for Securities Industry Registration
- **Form U-6 - Uniform Disciplinary Action Reporting
- **Form U-10 - Uniform Examination Request for ~~Non-NASD~~ Non-FINRA Candidates

006.04 The following forms for the registration of issuer-dealers and agents must be used in Nebraska:

- Application for Registration as Issuer-Dealer
- Application for Registration as Agent of Issuer-Dealer

** Uniform Form Accepted