

MEMO# 3312

December 2, 1991

CALIFORNIA RAISES FILING AND REGISTRATION FEES

December 2, 1991 TO: STATE SECURITIES MEMBERS NO. 52-91 UNIT INVESTMENT TRUST MEMBERS NO. 61-91 BLUE SKY GUIDE RECIPIENTS RE: CALIFORNIA RAISES FILING AND REGISTRATION FEES _____ The California Department of Corporations has issued a new schedule of fees, effective January 1, 1992. Specifically, fees for all types of investment company securities registration will increase. The filing fee will be raised from \$100 to \$200; in addition, the annual registration fee will be raised from 1/10 of 1% with a maximum of \$1500, to 1/5 of 1% with a maximum of \$2500. Other fees that will be modified are those for broker- dealer annual assessments and agent transfers. Investment advisers which heretofore paid \$250 for a 2-year registration term will be required to pay \$125 annually. A copy of the California Department of Corporations Release No. 15-G is attached. Susan S. Burgess Legal Assistant Attachment

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