

Ohio Securities Bulletin



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Governor

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Director of Commerce

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Commissioner of Securities

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As a result of passage of the "Budget Bill", the Ohio Division of Securities became a "rotary" agency. In short, this means that funding levels for the Division will be determined by the income of the agency, rather than by legislative appropriation.

Almost all the fees and charges contained within Chapter 1707 of the Revised Code were increased effective July 30, 1979.

The following table sets forth the type of filing, Revised Code Section number, the old fee and the new fee. The Division of Securities will publish new forms which will reflect these fee increases as soon as possible. It should be noted that the fees for filings under Section 1707.03(O) and 1707.03(Q) of the Revised Code were not changed and remain at twenty-five dollars.

<u>SECTION NUMBER</u>	<u>TYPE OF FILING</u>	<u>OLD FEE</u>	<u>NEW FEE</u>
1707.02(B)	Form 2(B) Government Securities	\$ 20.00	\$ 50.00
1707.04(C)	Form 4 Corporate Reorganizations	\$ 50.00	\$ 100.00
1707.04(C)	Deposit for hearing expense	\$500.00	\$1,000.00
1707.041(B)(4)	Form .041 Takeovers	\$250.00	\$ 500.00
1707.041(B)	Deposit for hearing expense	\$750.00	Open-ended
1707.05(A)	Form 5(A) filing minimum	\$ 25.00	\$ 100.00
1707.05(A)	Form 5(A) filing maximum	\$300.00	\$1,000.00
1707.06(a)(1)	Form 6(a)(1) Ohio Corporation Securities	\$ 20.00	\$ 50.00
1707.06(a)(2)	Form 6(a)(2) Ohio Corporate Securities to 15 persons maximum	\$ 20.00	\$ 50.00
1707.06(a)(3)	Form 6(a)(3)/Form 6(a)(3) OG Limited Partnership 10 person maximum	\$ 20.00	\$ 200.00

1707.06(a)(4)	Form 6(a)(4) Sale of Corporate Securities to existing shareholders	\$ 20.00	\$ 50.00
1707.09	Form 9/Form 9OG Registration by Qualification filing fee	\$ 25.00	\$ 100.00
1707.09	Form 9 Registration fee minimum maximum	\$ 25.00 \$500.00	\$ 100.00 \$1,000.00
1707.091	Form .091 Registration by Qualification filing fee Registration fee: minimum maximum	\$ 25.00 \$ 25.00 \$500.00	\$ 100.00 \$ 100.00 \$1,000.00
1707.17	Forms 15/15(A)/331(A) Dealer application/Renewal 1-5 Salesmen 6-10 Salesmen 11 or more Salesmen	\$ 75.00 \$125.00 \$150.00	\$ 50.00 per Salesmen \$ 150.00 minimum
1707.17	Form 15 Dealer application Examination fee	\$ 25.00	\$ 75.00
1707.17	Form 16/16(a)/331(B) Salesman application/ Renewal/Transfer/Examination	\$ 15.00	\$ 50.00
1707.18	Form 18 Transfer of Partnership Dealer License	\$ 20.00	\$ 50.00
1707.33	Form 33 filing fee	\$150.00	\$ 500.00
1707.33	Form 33 Deposit for examination of property	\$750.00	Open-ended
1707.39	Form 39 Qualification of Securities Sold without Compliance Filing fee	\$ 25.00	\$ 100.00

Inquiries regarding the above-listed fee changes should be addressed to: Phillip D. Lehmkuhl, Staff Attorney, Division of Securities, 180 East Broad Street, Columbus, Ohio 43215.