

Published Date : 11/19/2012



Direct Edge Regulatory Notice #12-06: Revised and New FINRA CRD Fees Effective January 2, 2013

Effective **January 2, 2013**, the following charges for Central Registration Depository (CRD®) services will apply to Members of EDGA® Exchange, Inc. and EDGX® Exchange, Inc. that are NOT also members of FINRA ("Non-FINRA Members"). Non-FINRA Members are required to pay applicable fees directly to FINRA through the CRD system.

CRD Processing Fee: \$100.00 (increase from \$85.00)

FINRA assesses this fee when a Non-FINRA Member submits its first initial, transfer, relicense, or dual registration Form U4 filing on behalf of a registered person.

Annual System Processing Fee: \$45.00 (increase from \$30.00)

FINRA assesses this annual system processing charge for each Non-FINRA Member's registered individuals during renewals. Non-FINRA Members should anticipate receiving invoices from FINRA regarding the 2013 renewal program during the month of November 2012.

Fingerprint Card Processing Fee:

For those Non-FINRA Members that submit fingerprints to FINRA:

- electronically*: \$15.00 (increase from \$13.00)
- via hard copy fingerprint card*: \$30.00 (increase from \$13.00)
- via other self-regulatory organizations: \$30.00 (increase from \$13.00)

*These fees are in addition to fees that FINRA collects on behalf of the Federal Bureau of Investigation (FBI), consistent with FBI guidelines. The current FBI fee is \$14.50, but is subject to change by the FBI.

Disclosure Processing Fee (Form U4, Form U5 & amendments): \$110.00 (increase from \$95.00)

FINRA assesses this fee for all registration, transfer, or termination filings with new or amended disclosure information or that require certification of one or more disclosure events or proceedings, as well as any amendment to disclosure information.

Disclosure Processing Fee (Form BD & amendments): \$110.00 (new fee) FINRA will assess this new fee to Non-FINRA Members for all registration, transfer, or termination filings with new or amended

disclosure information on Form BD or that require certification of one or more disclosure events or proceedings on Form BD, as well as any amendment to disclosure information.

More Information

- For further reference, please see “Fees Related to CRD” in [**FINRA’s Regulatory Notice 12-32**](#), which applies to FINRA’s members.
- Contact [**Direct Edge Member Services**](#) at 201.942.8220, option #3.