

Colorado Division of Securities' Notice of Fee Changes

Tuesday, November 1, 2022

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November 1, 2022- The Colorado Division of Securities will be adjusting licensing fees to keep the Division in compliance with statutory requirements to maintain sufficient revenue.

This year, the fees have increased but continue to be some of the lowest in the nation. The Division remains committed to keeping fees as low as possible.

Effective November 3, 2022, the annual and the renewal fees will be \$16 for the following individual licensees:

- Colorado/FINRA Sales Representative
- Mortgage Sales Representative
- SEC Investment Adviser Representative
- State-Registered Investment Adviser Representative

Effective November 3, 2022, the annual and the renewal fees will be \$59 for the following entities:

- Colorado/FINRA Broker-Dealer
- Mortgage Broker-Dealer
- SEC Investment Adviser - Notice Filed
- State-Registered Investment Adviser

DORA is dedicated to preserving the integrity of the marketplace and is committed to promoting a fair and competitive business environment in Colorado. Consumer protection is our mission. Visit dora.colorado.gov for more information or call 303-894-7855 / toll-free 1-800-886-7675.

ABOUT THE GROUPS

The Colorado Division of Securities regulates the state securities industry. It works to protect investors and maintain confidence in the securities market, while avoiding unreasonable burdens on the marketplace by licensing securities professionals, enforcing securities law violations, and helping Coloradans become more informed investors.

About DORA:

DORA is the state's umbrella regulatory agency, charged with managing licensing and registration for multiple professions and businesses, implementing balanced regulation for Colorado industries, and protecting consumers. Our nearly 600 employees are dedicated to preserving the integrity of the marketplace and promoting a fair and competitive business environment throughout Colorado.