

| H.872: 2016 Fee Bill                      |                 |                             |  | Administration                          |             |              |            |             | House-Passed |            |             | Senate       |            |             | 13   | 14                         | 15                            | 16                            | 17              |              |
|---|-----------------|-----------------------------|--|---|-------------|--------------|------------|-------------|--------------|------------|-------------|--------------|------------|-------------|--|----------------------------|-------------------------------|-------------------------------|-----------------|--------------|
| 1   | 2               | 3                           | 4  | 5                                       | 6           | 7            | 8          | 9           | 10           | 11         | 12          | 10           | 11         | 12          | # Of units (if applicable)   | FY15 Fee Receipts (Actual) | FY16 Fee Receipts (Estimated) | FY17 Fee Receipts (Projected) | Fund of Deposit |              |
| Row #                                     | Fee Bill Sec. # | Statutory Reference         | Fee Name/ Description  | Year Last Changed (Legislative Session) | Current Fee | Proposed Fee | % Fee Incr | New Revenue | Proposed Fee | % Fee Incr | New Revenue | Proposed Fee | % Fee Incr | New Revenue |  |                            |                               |                               |                 |              |
| <b>DEPARTMENT OF FINANCIAL REGULATION</b> |                 |                             |  |   |             |              |            |             |              |            |             |              |            |             |  |                            |                               |                               |                 |              |
| 64  | 29a             | 8 VSA Sec 2202(b)(1)        | Lender - License   | 2009                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 8,700       | 87   | 87,000                     | 87,000                        | 95,700                        | General Fund    |              |
| 65  | 29a             | 8 VSA Sec 2202(b)(1)        | Lender - Application and Investigation   | 2009                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 9,400       | 94   | 94,000                     | 94,000                        | 103,400                       | General Fund    |              |
| 66  | 29a             | 8 VSA Sec 2202(b)(1)        | Lender - License - Additional  | 2009                                    | 500.00      |              |            |             |              |            |             | 600.00       | 20%        |             |  |                            |                               |                               | General Fund    |              |
| 67  | 29a             | 8 VSA Sec 2202(b)(1)        | Lender - Application and Investigation - Additional  | 2009                                    | 500.00      |              |            |             |              |            |             | 600.00       | 20%        |             |  |                            |                               |                               | General Fund    |              |
| 68  | 29a             | 8 VSA Sec 2202(b)(2)        | Mortgage Broker - License  | 2009                                    | 500.00      |              |            |             |              |            |             | 600.00       | 20%        | 3,500       | 35   | 17,500                     | 17,500                        | 21,000                        | General Fund    |              |
| 69  | 29a             | 8 VSA Sec 2202(b)(2)        | Mortgage Broker - Application and Investigation  | 2009                                    | 500.00      |              |            |             |              |            |             | 600.00       | 20%        | 4,400       | 44   | 22,000                     | 22,000                        | 26,400                        | General Fund    |              |
| 70  | 29a             | 8 VSA Sec 2202(b)(4)        | Mortgage Loan Originator - License   | 2009                                    | 50.00       |              |            |             |              |            |             | 55.00        | 10%        | 2,320       | 464  | 23,200                     | 23,200                        | 25,520                        | General Fund    |              |
| 71  | 29a             | 8 VSA Sec 2202(b)(4)        | Mortgage Loan Originator - Application and Investigation                                   | 2009                                    | 50.00       |              |            |             |              |            |             | 55.00        | 10%        |             |  |                            |                               |                               | General Fund    |              |
| 72  | 29a             | 8 VSA Sec 2202(b)(5)        | Sales Finance Company - License  | 2009                                    | 350.00      |              |            |             |              |            |             | 425.00       | 21%        | 2,700       | 36   | 12,600                     | 12,600                        | 15,300                        | General Fund    |              |
| 73  | 29a             | 8 VSA Sec 2202(b)(5)        | Sales Finance Company - Application  | 2009                                    | 350.00      |              |            |             |              |            |             | 425.00       | 21%        | 3,075       | 41   | 14,350                     | 14,350                        | 17,425                        | General Fund    |              |
| 74  | 29b             | 8 VSA Sec 2208(b)           | Lender Amendment - Change of Location  | 1995                                    | 100.00      |              |            |             |              |            |             | 110.00       | 10%        | 3,270       | 327  | 32,700                     | 32,700                        | 35,970                        | General Fund    |              |
| 75  | 29c             | 8 VSA Sec 2209(a)(1)        | Lender - License Renewal   | 2009                                    | 1,200.00    |              |            |             |              |            |             | 1,300.00     | 8%         | 48,100      | 481  | 577,200                    | 577,200                       | 625,300                       | General Fund    |              |
| 76  | 29c             | 8 VSA Sec 2209(a)(2)        | Mortgage Broker - License Renewal  | 2009                                    | 500.00      |              |            |             |              |            |             | 600.00       | 20%        | 19,200      | 192  | 96,000                     | 96,000                        | 115,200                       | General Fund    |              |
| 77  | 29c             | 8 VSA Sec 2209(a)(4)        | Sales Finance Company - License Renewal  | 2009                                    | 350.00      |              |            |             |              |            |             | 425.00       | 21%        | 12,525      | 167  | 58,450                     | 58,450                        | 70,975                        | General Fund    |              |
| 78  | 29c             | 8 VSA Sec 2209(a)(5)        | Mortgage Loan Originator - License Renewal   | 2009                                    | 100.00      |              |            |             |              |            |             | 110.00       | 10%        | 12,380      | 1,238  | 123,800                    | 123,800                       | 136,180                       | General Fund    |              |
| 79  | 29d             | 8 VSA Sec 2506(d)           | Money Transmission - Application   | 2001                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 1,600       | 16   | 16,000                     | 16,000                        | 17,600                        | General Fund    |              |
| 80  | 29d             | 8 VSA Sec 2506(d)           | Money Transmission - License   | 2001                                    | 500.00      |              |            |             |              |            |             | 675.00       | 35%        | 3,150       | 18   | 9,000                      | 9,000                         | 12,150                        | General Fund    |              |
| 81  | 29e             | 8 VSA Sec 2509(a)           | Money Transmission - License Renewal   | 2001                                    | 500.00      |              |            |             |              |            |             | 675.00       | 35%        | 12,075      | 69   | 34,500                     | 34,500                        | 46,575                        | General Fund    |              |
| 82  | 29f             | 8 VSA Sec 2754              | Debt Adjuster - Application  | 2003                                    | 250.00      |              |            |             |              |            |             | 280.00       | 12%        | 90          | 3  | 750                        | 750                           | 840                           | General Fund    |              |
| 83  | 29f             | 8 VSA Sec 2754              | Debt Adjuster - License  | 2003                                    | 250.00      |              |            |             |              |            |             | 280.00       | 12%        | 30          | 1  | 250                        | 250                           | 280                           | General Fund    |              |
| 84  | 29f             | 8 VSA Sec 2754              | Debt Adjuster - License Renewal  | 2003                                    | 250.00      |              |            |             |              |            |             | 280.00       | 12%        | 840         | 28   | 7,000                      | 7,000                         | 7,840                         | General Fund    |              |
| 85  | 29g             | 8 VSA Sec 2757(b)           | Debt Adjuster - Change of Location   | 2009                                    | 100.00      |              |            |             |              |            |             | 110.00       | 10%        |             |  |                            |                               |                               | General Fund    |              |
| 86  | 29g             | 8 VSA Sec 2757(d)           | Debt Adjuster - Change of Control of License   | 2003                                    | 250.00      |              |            |             |              |            |             | 280.00       | 12%        |             |  |                            |                               |                               | General Fund    |              |
| 87  | 29h             | 8 VSA Sec 2902(b)           | Loan Servicer - Application  | 2009                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 3,700       | 37   | 37,000                     | 37,000                        | 40,700                        | General Fund    |              |
| 88  | 29h             | 8 VSA Sec 2902(b)           | Loan Servicer - License  | 2009                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 3,000       | 30   | 30,000                     | 30,000                        | 33,000                        | General Fund    |              |
| 89  | 29i             | 8 VSA Sec 2908(b)           | Loan Servicer - Change of Location   | 2009                                    | 100.00      |              |            |             |              |            |             | 110.00       | 10%        | 230         | 23   | 2,300                      | 2,300                         | 2,530                         | General Fund    |              |
| 90  | 29j             | 8 VSA Sec 2910(a)           | Loan Servicer - License Renewal  | 2009                                    | 1,000.00    |              |            |             |              |            |             | 1,100.00     | 10%        | 19,800      | 198  | 198,000                    | 198,000                       | 217,800                       | General Fund    |              |
| 91  | 30-32           | 8 VSA Sec 4800(2)(A)(i)     | Ins Business Entity Producers  | 1999                                    | 30.00       | 150.00       | 400%       | 21,960      | 150.00       | 400%       | 21,960      | 150.00       | 400%       | 21,960      | A total of 163 Limited Lines Business Entity Licensees exist today, approximately 20 new licensees from a new Limited Lines Business Entity Regulation are expected. |                            | 4,890                         | 5,490                         | 27,450          | Special Fund |
| 92  | 33              | 9 VSA sec 5302(e)           | Mutual Fund Initial Filing Fee   | 2006                                    | 600.00      | 1,200.00     | 100%       | 1,188,000   | 2,000.00     | 233%       | 2,772,000   | 2,000.00     | 233%       | 2,772,000   | 1,980  | 1,188,000                  | 1,188,000                     | 3,960,000                     | General Fund    |              |
| 93  | 33              | 9 VSA sec 5302(e)           | Mutual Fund Renewal Filing Fee   | 2006                                    | 600.00      | 1,200.00     | 100%       | 12,012,000  | 1,500.00     | 150%       | 18,018,000  | 1,500.00     | 150%       | 18,018,000  | 20,020   | 12,012,000                 | 12,012,000                    | 30,030,000                    | General Fund    |              |
| 94  | 33a             | 9 VSA Sec 5410(a)           | Broker Dealer Firm - Initial Registration and Renewal                                      | 2006                                    | 250.00      |              |            |             |              |            |             | 300.00       | 20%        | 65,200      | 1,304  | 326,000                    | 326,000                       | 391,200                       | General Fund    |              |
| 95  | 33a             | 9 VSA Sec 5410(a), (c), (e) | Securities - Branch Office   | 2006                                    | 100.00      |              |            |             |              |            |             | 120.00       | 20%        | 12,940      | 647  | 64,700                     | 64,700                        | 77,640                        | General Fund    |              |
| 96  | 33a             | 9 VSA sec 5410(b)           | Broker Dealer Agent Registration Fee   | 2008                                    | 60.00       |              |            |             |              |            |             | 80.00        | 33%        | 2,180,660   | 112,000  | 6,779,340                  | 6,779,340                     | 8,960,000                     | General Fund    |              |
| 97  | 33a             | 9 VSA Sec 5410(c)           | Investment Advisor Firm - Initial Registration and Renewal                                 | 2006                                    | 250.00      |              |            |             |              |            |             | 300.00       | 20%        | 3,750       | 75   | 18,750                     | 18,750                        | 22,500                        | General Fund    |              |
| 98  | 33a             | 9 VSA Sec 5410(d)           | Investment Advisor Representative Registration Fee   | 2006                                    | 55.00       |              |            |             |              |            |             | 80.00        | 45%        | 37,550      | 1,502  | 82,610                     | 82,610                        | 120,160                       | General Fund    |              |
| 99  | 33a             | 9 VSA Sec 5410(e)           | Investment Advisor Firm - SEC and Exempt - Initial and Renewal Notice                      | 2006                                    | 250.00      |              |            |             |              |            |             | 300.00       | 20%        | 48,350      | 967  | 241,750                    | 241,750                       | 290,100                       | General Fund    |              |
| 100                                       | 34              | 32 VSA sec 602(2)(B)        | Language exempting Department of Financial Regulation charges from the definition of "fee" |   |             |              |            |             |              |            |             |              |            |             |  |                            |                               |                               |                 |              |
|   |                 |                             |  |   |             |              |            | 13,221,960  |              |            | 20,811,960  |              |            | 2,522,535   | Senate New   |                            |                               |                               |                 |              |
|   |                 |                             |  |   |             |              |            |             |              |            |             |              |            | 23,334,495  | New Revenue  |                            |                               |                               |                 |              |