

Thrift Bulletin

Rescinded 03/31/95 by TB 48-13. Click [HERE](#) to link to TB 48-13

Handbook:
Subject: Fee Schedules

Section: 071
TB 48-12

March 18, 1994

RESCINDED

Office of Thrift Supervision Fees Bulletin

Summary: This bulletin supersedes TB 48-11, dated September 20, 1993, becomes effective 30 days after its publication and shall remain in effect until further notice. It reflects the establishment of a fee for non-electronically filed HMDA (Home Mortgage Disclosure Act) reports, an increase in the hourly rate for examining holding companies and affiliates, a new fee to offset the cost of conducting trust examinations and an adjustment in fees for filing Registration Statements. All other fees remain unchanged from TB 48-11.

For Further Information Contact: Your Regional Office, the Corporate Analysis unit, or the Corporate and Securities Division of the Office of Thrift Supervision, Washington, DC.

Thrift Bulletin 48-12

Attached are the revised fee schedules for OTS. Except for the changes listed below, the fee schedules contained within this bulletin are identical to the schedules contained in TB 48-11.

The Application Fees Schedule has been amended to reflect an increase in filing fees for Securities Offering under 12 C.F.R. Part 563g, from 1/32 of one percent to 1/29 of one percent of the maximum aggregate offering price. The increase corre-

sponds to and reflects a similar increase recently made to Section 6 (b) of the Securities Act of 1934 increasing fees paid for registration statements filed with the Securities and Exchange Commission.

The Examination Fees Schedule has been amended to reflect the establishment of a new fee for trust examinations and an increase in the hourly rate for examining holding companies and affiliates. The hourly rate for examining holding companies and affiliates has increased from \$60 to \$89. The hourly rate for trust examinations will also be \$89. Trust examinations were previously conducted at no charge. OTS believes that the new fees more closely reflect the actual costs of conducting such examinations.

Finally, this bulletin establishes a new fee for non-electronically filed HMDA reports that contain in excess of 200 lines of data (see "Miscellaneous Fees Schedule"). (Each application or loan reported by an institution is one line of data.) OTS has determined that, on average, such reports cost \$90 more to process than electronically filed reports—a cost OTS cannot underwrite. Accordingly, the new \$.20 per line fee is designed to offset the added cost and to encourage more HMDA reporters to file electronically.

Attachments



—John C. Price
Acting Assistant
Director for Policy

Application Fee Schedule

Agency Office	\$900
If an application contains a request to establish more than one agency office, include \$100 for each additional agency office.	
Approval of Director and Officer	\$800
The \$800 fee is per individual. The applicant must also include \$23 per each FBI background check required.	
Branch	
Interstate	
Standard	\$1,900
Expedited	\$700
Intrastate	
Standard	\$1,900
Expedited	\$700
Change of Location	
Standard	\$900
Expedited	\$300
If an application contains a request to establish more than one branch office, include \$100 for each additional branch office.	
Bylaw Amendments	
Applications (Sections 544.5(c)(1) and 552.5(b)(1)	\$1,400
Notices (Sections 544.5(c)(2) and 552.5(b)(2)	\$100
Preapproved	\$0
Capital	
Dividend Notification	\$300
Dividend Notification in Excess of Limitation (Section 563.134(e)(1))	\$1,500
Impermissible Subsidiary Capital	
Deduction Phase-in	\$200
Release of Dividend Agreement (Section 563.134(e)(3))	\$1,000
Release of Capital Maintenance Agreement	\$1,000
Repurchase of Stock (Section 563b.3(g)(3))	\$300
Sub Debt/Mandatorily Redeemable Preferred Stock in Capital (Section 563.81)	
Standard	\$5,300
Expedited	\$1,700
Change of Control	\$12,400
No additional fee is required for related interim and merger applications (if applicable). The applicant must also include \$23 per each FBI background check required.	
Charter Amendments	
Applications (Sections 544.2(a)(2)(i) and 552.4(a)(2)(i)	\$1,400
Notices (Sections 544.2(a)(2)(ii) and 552.4(a)(2)(ii)	\$100
Preapproved	\$0
Charter Certificate	\$100
The fee is for associations that request a new or replacement charter certificate. A charter certificate is optional.	
Charter Conversions	
State to Federal	\$1,400
Federal to State Bank or National Bank (Sasser)	\$5,700
Commercial Bank to Thrift (Reverse Sasser)	\$10,400

Merger	
Voluntary	\$5,200
Supervisory	\$5,700

Fee is per OTS-regulated institution involved in merger. No additional fee is required for related interim and merger applications (if applicable). The applicant must also include \$23 per each FBI background check required.

Modification of Condition of Approval	\$2,700
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Mutual Holding Company Reorganization (12 USC 1467a(o))

Form MHC-1	\$10,000
Form MHC-2 (Initial Public or Private Offering)	\$8,700
Form MHC-2 (Secondary Public or Private Offering)	\$6,400
Waiver of Dividends to MHC	\$1,500

Non-residential Lending Exception	\$2,500
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Oakar	
Standard Oakar - Indirect acquisition (Holding Company and Interim Applications).....	\$5,700
Super Oakar - Direct acquisition of a thrift by a bank.....	\$5,200
Reverse Oakar (branch) Acquisition of Bank Branches by Thrift.....	\$5,200
Reverse Oakar (whole) Acquisition of Whole Bank Entity by Thrift	\$10,400

Operating Subsidiary	
Standard Application	\$3,000
Expedited Notice	\$1,000
Redesignation Application (Section 545.81 (d)).....	\$300

Permissible Bank Holding Company Activities of Savings and Loan Holding Companies (Section 584.2-2)	\$300
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Permission to Organize	
Original Submission	\$18,100

Prescribed Services and Activities of Savings and Loan Holding Companies (Section 584.2-1)	\$300
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Qualified Stock Issuance	\$12,400
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Rebuttal of Concerted Action	\$5,600
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Rebuttal of Control	\$5,600
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Regulatory Exception	\$2,500
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Section 563b.3(i)	\$4,700
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This fee is charged regardless as to whether the application is filed in conjunction with an application under Part 574.

SECURITIES EXCHANGE ACT OF 1934 FILINGS

FOR ANY OTHER SECURITIES FILINGS NOT LISTED, THE OFFICE OF THRIFT SUPERVISION GENERALLY WILL CHARGE THE SAME FEE AS THE SECURITIES AND EXCHANGE COMMISSION

Proxy Statement	(A)
Proxy Statement/Contest	(B)
Merger Proxy Statement.....	(C)
Form 3	no fee
Form 4	no fee
Form 5	no fee
Form 8-A.....	\$250
Form 8-B.....	\$250
Form 8-K	no fee
Form 10	\$250
Form 10-SB	\$250
Form 10-C	no fee
Form 10-K	\$250
Form 10-KSB	\$250
Form 10-Q	no fee, but see below*
Form 10-QSB.....	no fee, but see below*
Form 11-K	\$250
Form 12b-25	no fee
Form 15	no fee
Schedule 13D	\$100
Schedule 13G	\$100
Schedule 13E-3	(D)
Schedule 13E-4	(D)
Schedule 14D-1	(E)
Schedule 14D-9	no fee
Submission to exclude a shareholder proposal under rule 14a-8	\$250

*Amendments to the following forms and schedules when required by the Office of Thrift Supervision:

Form 10-K	\$250
Form 10-KSB	\$250
Form 10-Q	\$250
Form 10-QSB	\$250
Schedule 13D	\$100
Schedule 13G	\$100

Examination Fee Schedule

EXAMINATION FEES (per day)

Holding Companies.....	\$89/hr.
Affiliates.....	\$89/hr.
Trust Examinations.....	\$89/hr.
Justice Department Criminal Referrals	\$425

Miscellaneous Fee Schedule

HMDA Reports

HMDA Loan Application Registers
Containing More Than 200 Lines
(If submitted on paper or print
image diskette)

Twenty cents (\$.20)
for each line
filed.

A check for the filing fee must accompany the Loan Application Register Transmittal Sheet.

Miscellaneous Fee Schedule

Publication Fee Charges

Refer to the OTS Publication Brochure for the current publication fees. The brochure can be obtained from the Controller, Office of Thrift Supervision, 1700 G Street, N.W., Washington, D.C. 20552.

FOIA Fee Charges

According to Category of Requester as Established in the 1987 Amendment to the FOIA.

Commercial

Duplication	\$.15 per page
Search/Review	\$20.00 per hour or fraction thereof
Computer Charges (Thrift Financial Report)	\$ 4.00 processing fee per request \$ 3.00 per Statement of Condition/ Operation
	\$.50 per page for additional financial schedules

Educational Institutions, Non-Commercial Scientific Institutions, Representatives of the News Media

The first 100 pages (or 33 Statement of Condition/Operation Reports) shall be furnished without charge. Additional documents/reports will be furnished for reproduction costs alone (no search fees).

All other Requesters

The first 100 pages (or 33 Statement of Condition/Operation Reports) and the first two hours of search time shall be furnished without charge. Thereafter they shall be charged the same as commercial requesters.

Gold Seal Fee Charges

All documents issued by the Office of Thrift Supervision requiring affixation of the official gold seal will cost \$50.00 per gold seal requested.