

Office of Thrift Supervision

TB 48-10 was rescinded 9/20/93 by TB 48-11. Click [HERE](#) to link to TB 48-11

Handbook: Application Processing  
Subject: Application Fee Schedule

Section: 071  
TB 48-10

December 31, 1992

Office of Thrift Supervision  
1993 Filing Fees  
**RESCINDED**

*Summary:* This bulletin is generally published in the last quarter of each year and sets forth all fees to be charged by the Office of Thrift Supervision ("OTS") for the following calendar year. This bulletin supersedes TB 48-8, dated May 30, 1992, and shall remain in effect until further notice.

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

*Thrift Bulletin 48-10*

Attached is the revised Application Fee Schedule that will become effective 30 days after publication. This schedule supersedes the Application Fee Schedule set forth in TB 48-8, dated May 30, 1992.

The 1993 Filing Fees Bulletin includes several application types and fees that were either inadvertently deleted from TB 48-8, or recently created by regulation. Specifically, these additions include: applications for Agency Offices - \$1,400; Waiver of Direct Sales of Securities at an Office - \$800; Waiver of Dividends to Mutual Holding Companies - \$1,500; Impermissible Subsidiary Capital Deduction Phase-in - \$200; Operating Subsidiaries - \$6,700 (Application), \$1,000 (Notice), \$300 (Redesignation

Application); Qualified Stock Issuances - \$12,400; and notices to Increase Investments in Service Corporations - \$300. The aforementioned fees are based on either the existing fees imposed on applications estimated to have similar processing times, or, as in the case of applications for Agency Office, on historical data of average processing time.


As part of this bulletin, OTS also altered the fee structure for Branch applications and Mutual Holding Company Reorganization Form MHC-2 applications. Under the new fee structure for Branch applications, if an applicant submits an application requesting permission to establish more than one branch office, the fee for the first branch is \$1,900 (or \$700 if expedited) and \$100 for each additional branch. Under the new fee structure for Mutual Holding Company Form MHC-2 applications, the initial filing will be \$8,700 and any secondary filing will be \$6,400. Again, in changing these fees, OTS took into consideration the average process-

ing time for each application and the fees for similar application types.

In addition, the fee for preliminary proxy materials for acquisitions filed with OTS is being increased to \$1,000 from \$800, and the fees for expedited Branch, Loans to One Borrower, and Finance Subsidiary applications, as well as the fees for Permissible Bank Holding Company Activities, are being altered in order to comply with the requirements of 12 C.F.R. Section 502.3(b)(4), which requires that all fees be rounded to the nearest increment of \$100.

Finally, this bulletin clarifies OTS' policy of charging each OTS-regulated institution a \$5,200 fee for Merger and Transfer of Assets and Assumption of Liabilities applications and deletes the Modified Conversion application type and fee.

Attachments

  
—John F. Robinson  
Acting Deputy Director for  
Washington Operations

## Application Fee Schedule for 1993

Agency Office ..... \$1,400

Approval of Director and Officer ..... \$600  
 The \$600 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 (Section 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)) ..... \$2,700  
 Repurchase of Stock (Section 563b.3(g)(4)) ..... \$1,000  
 Sub Debt/Mandatory 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

**Application Fee Schedule—2**

<b>Conversions (Mutual to Stock)</b>	
Standard Conversions (Form AC) .....	\$6,400
w/H-(e)1-S (Form AC included) .....	\$8,400
w/Merger (Form AC included).....	\$17,400
w/Holding Company (Form AC included).....	\$18,700

**Supervisory Conversions** .....\$18,700  
 The fee for modified and supervisory conversions includes all related filings. In a supervisory conversion, all fees must be paid by the acquiror(s).

If the conversion involves a public offering of stock, the applicant must also pay a fee of 1/32 one percent of the maximum aggregate price at which the securities are proposed to be offered. See Rule 457 under the Securities Act of 1933.

**Deregistration as a Holding Company (Section 584.1(d))** ..... \$1,000  
 If filed with a Divestiture of Control application the combined total fee for both transactions is only \$1,000.

**Direct Sales of Securities at an Office (Section 563g.17)** ..... \$800

**Waiver of Direct Sales of Securities at an Office (Section 563g.14)**.....\$800

**Divestiture of Control** ..... \$1,000  
 If filed with a Deregistration application, the combined total fee for both transactions is only \$1,000.

**Extension of Time** .....\$300  
 A fee is required when an applicant requests an extension of the time period set forth in an approval letter or Director's order.

**Finance Subsidiary**

Standard.....	\$6,700
Expedited .....	\$2,000

**Holding Company**

Form H-(e)1 .....	\$18,100
Form H-(e)2 .....	\$18,100
Form H-(e)3 .....	\$18,100
Form H-(e)4 .....	\$1,000
Form H-(e) 1-S .....	\$2,000

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. If an H-(e) 1-S becomes an H-(e)1, the applicant must pay an additional \$16,100.

**Interim**.....\$2,400  
 Only applicable if not included in related filing.

**Loans to One Borrower**

Standard.....	\$2,500
Expedited .....	\$800

**Management Interlock** ..... \$2,600

**Application Fee Schedule—3**

**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(0))**

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 .....	\$5,200

**Operating Subsidiary**

Standard Application .....	\$6,700
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) .....	\$100
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**Permission to Organize**

Original Submission .....	\$16,000
Compliance.....	\$4,300

**Prescribed Services and Activities of Savings and Loan Holding Companies**

(Section 584.2-1) .....	\$100
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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 if the application is filed in conjunction with an application under Part 574.

**Securities Offerings – Part 563g**

A fee of 1/32nd of one percent of the maximum aggregate price at which the securities are proposed to be offered. See also Rule 457 under the Securities Act of 1933.

There is no fee for securities sales reports filed pursuant to Section 563g.12 for offerings under Sections 563g.2 and 563g.4.

**Service Corporations**

Establishment of New Activity .....	\$6,700
Establishment of New Activity Notice preapproved 12 CFR 545.74(c)(1-6).....	\$1,000
Increase of Investment Notice 12 CFR 545.74(b)(3) .....	\$300

Transfer of Assets, Assumption of Liabilities .....	\$5,200
Fee is per OTS-regulated institution involved.	

Trust Powers .....	\$4,200
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Voluntary Dissolution (section 546.4) .....	\$1,000
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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 .....	no fee, but see below
Form 8-A .....	\$250
Form 8-B .....	\$250
Form 8-K .....	no fee
Form 10 .....	\$250
Form 10-C .....	no fee
Form 10-K .....	\$250
Form 10-Q .....	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
Schedule 14B .....	no fee
Submission to exclude a shareholder proposal under rule 14a-8.....	\$250
<b>Amendments to the following forms and schedules when required by the Office of Thrift Supervision:</b>	
Form 10-K (Amend on Form 8) .....	\$250
Form 10-Q (Amend on Form 8) .....	\$250
Schedule 13D .....	\$100
Schedule 13G .....	\$100
<b>EXAMINATION FEES (per day)</b>	
Affiliates.....	\$480
Justice Department Criminal Referrals .....	\$425

**FOOTNOTES**

**(A) Proxy Statements:**

1. For definitive proxy material relating to a solicitation for which the savings association does not file preliminary proxy material, a fee of \$125. See Rule 14a-6(j) under the Securities Exchange Act of 1934 ("Exchange Act").

2. For preliminary proxy material that solicits proxies for business for which a stockholder vote is necessary, but apparently no controversy is involved, a fee of \$125. See Rule 14a-6(j) under the Exchange Act.

**(B)** For preliminary proxy material involving a proxy contest, each party to the controversy shall pay a fee of \$4,100.

**(C)** For preliminary proxy material involving acquisitions, mergers, consolidations, and reorganizations, a fee of 1/50th of one percent of the proposed cash payment or of the value of the securities and other property to be transferred to securities holders in the transaction. See Rule 14a-6(j) and Rule 0-11 under the Exchange Act. If the transaction involves the filing of a registration statement with the Securities and Exchange Commission for the registration under the Securities Act of 1933 of securities to be issued by a holding company in the transaction, the fee for the preliminary proxy material filed with the Office of Thrift Supervision shall be \$1,000.

**(D)** A fee of 1/50th of one percent of the value of the securities proposed to be acquired by the acquiring person. See Rule 0-11 under the Exchange Act.

**(E)** A fee of 1/50th of one percent of the aggregate of the cash or of the value of the securities or other property offered by the bidder. See Rule 0-11 under the Exchange Act.

## Publication 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.