



IDAHO DEPARTMENT OF FINANCE
Securities Bureau
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NOTICE FILING OF MUTUAL FUNDS & UNIT INVESTMENT TRUSTS

Initial Filing Requirements

The following must be submitted directly to the Department of Finance, Securities Bureau for initial notice filing:

1. Form NF
2. Consent to Service of Process (Form U-2)
3. Fees – check or money order payable to the Idaho Department of Finance
 - Mutual Fund - \$300.00 per portfolio
 - Unit Investment Trust - \$100.00

NOTE: An Agent of Issuer filing is required if a compensated agent is not an Idaho registered broker-dealer.

Post-Effective Filing Requirements

Renewal - Issuers are required to renew their notice filings if they intend to continue selling securities to Idaho residents after the initial notice filing period. A notice filing is effective for 1 year commencing on the later of the notice filing or the effectiveness of the offering filed with the Securities and Exchange Commission. The following must be submitted directly to the Department of Finance, Securities Bureau for notice filing renewal before the initial notice filing expiration:

- Form NF
- Filing fee for each Notice of Acknowledgment renewal (same as initial filing fees)

Only amendments required:

- Form NF or letter notifying us of name change
- Form NF or letter notifying us of change of correspondent's address
- Form NF or letter of termination upon completion of offering in Idaho
- Material changes to Form U-2

[SEE: Idaho Code § 30-14-302 and Rule 53.01 pursuant to the Uniform Securities Act (2004)]