

INVESTMENT COMPANY NOTICE FILING INSTRUCTIONS

The New Jersey Bureau of Securities accepts notice filings for federally registered investment companies (mutual funds and unit investment trusts).

Applicable Statutory Provision	<u>N.J.S.A. 49:3-60.1 and 49:3-67(a)</u>
Applicable Regulatory Provision	<u>N.J.A.C. 13:47A-7.9</u>
Form for Initial Filing	Form NF (Uniform Investment Company Notice Filing) or SEC Registration Statement (with amendments & exhibits). All funds, trusts, series, and classes covered by a single Prospectus may be filed with the Bureau as a single filing.
Fee	Mutual funds, \$2000; Unit Investment Trusts, \$1000. Make checks payable to New Jersey Bureau of Securities. The check need not be certified.
Consent to Service	Form U-2, designating Chief of the Bureau of Securities. A Form U-2 is not needed for a renewal.
Expiration Date	Mutual fund notice filings expire the following June 30. UIT notice filings expire 18 months after filing.
Renewal	File Form NF, with the assigned Bureau file number. The renewal fees are the same as the initial fees. The Bureau does <u>not</u> issue renewal forms. Filings not renewed will be automatically terminated.
Amendments and Supplements	Amendments and supplements should be filed (without fee) to reflect changes in information. Please include Bureau file number on all correspondence.
Additional Details	Face-amount certificate companies and continuously offered closed-end funds are treated as mutual funds.
Distribution Arrangements	Each notice filing application must designate a New Jersey-registered broker-dealer or issuer agent.
Electronic Filings	The Bureau accepts electronic filings only through designated providers of electronic filing services.