

**Appendix 6**

In this Appendix underlining indicates new text and striking through indicates deleted text.

Note: some text is not being amended but is included for reference only.



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# The DFSA Rulebook

## Fees Module

### **(FER)**

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## 2.1 Application for a Licence

- 2.1.1** (1) An applicant applying for a Licence authorising it to carry on one or more Financial Services specified in the left hand column of the table in (2) must pay to the DFSA the highest of the corresponding fees in the right hand column of the table.
- (2) This is the table referred to in (1):

...	...
Managing a Collective Investment Fund (except as an Umbrella Fund) if any Fund to be managed is not a Qualified Investor Fund <u>or an Investment Company managed by its Corporate Director.</u>	\$10,000
Managing a Collective Investment Fund (except as an Umbrella Fund) if the Funds to be managed will only be Qualified Investor Funds.	\$5,000
<u>Managing a Collective Investment Fund if it is an Investment Company managed by its Corporate Director.</u>	<u>\$5,000</u>
...	...

...

## 3.2 Authorised Firms (subsequent periods)

- 3.2.1** (1) An Authorised Firm must pay to the DFSA an annual fee for any period of regulation after the initial period described in Rule 3.1.1.
- (2) The annual fee is:
- (a) the highest of the fees specified in the right hand column of the table in (3) corresponding to the Financial Services specified in the left hand column of the table which the Authorised Firm is authorised to carry on under its Licence; plus
  - (b) \$1,000 for each complete \$1,000,000 of expenditure, where “expenditure” has the meaning given in Rule 3.2.2; plus
  - (c) \$65,000, if the Authorised Firm is carrying on the Financial Service of Operating an Alternative Trading System.

(3) This is the table referred to in (2) (a):

...	
Managing a Collective Investment Fund (except as an Umbrella Fund) if any Fund managed is not a <u>Qualified Investor Fund or an Investment Company managed by its Corporate Director.</u>	\$10,000
Managing a Collective Investment Fund (except as an Umbrella Fund) if the Funds managed are only Qualified Investor Funds.	\$5,000
<u>Managing a Collective Investment Fund if it is an Investment Company managed by its Corporate Director.</u>	<u>\$5,000</u>
...	

...