

Appendix 6

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



The DFSA Rulebook

Fees Module

(FER)

1. INTRODUCTION

1.1 Application

1.1.1 This module (FER) applies to a Person in relation to:

- (a) an application for a Licence;
- (b) an application for an extension to scope of authorisation under a Licence;
- (c) an application for Recognition as a Recognised Body;
- (d) an application for registration as an Auditor;
- (e) an application to register a Public Fund;
- (f) seeking the DFSA's consent to winding up a Domestic Fund or the transfer of the property of a Domestic Fund to another body;
- (g) filing a Prospectus or Issue Note pursuant to MKT Rule 2.6.1(1)(a); and
- ~~(h) an application for registration as an Ancillary Service Provider; and~~
- ~~(i)~~(h) an application for admittance of Securities to the Official List of Securities.

1.1.2 This module also applies to a Person who is:

- (a) an Authorised Person;
- (b) an Auditor;
- (c) a DNFBP in AML Rule 2.2.1(1) (d), (e) and (f) ~~a Ancillary Service Provider; and~~
- (d) a Bidder.

1.2 General provisions

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1.2.6 (1) The DFSA may require a Person to pay to the DFSA a supplementary fee in circumstances where it expects to incur substantial additional costs in dealing with an application, notification or conducting ongoing supervision.

- (2) In such cases the DFSA will notify the Person as soon as reasonably possible of the amount of the supplementary fee.
- (3) Such a supplementary fee is applicable in respect of any fee payable under chapter 2 or 3 other than a fee under section 2.6, ~~2.7~~, 3.7 or 3.8.

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- 1.2.7** (1) In respect of any fee payable in accordance with FER, the fee must, subject to (2), be paid:
- (a) by the Person to whom the Rule applies;
 - (b) in United States Dollars; and
 - (c) by bank transfer directly from a bank account maintained by the Person specified in (a) into the DFSA's bank account.
- (2) The DFSA will accept payment of a fee in United States Dollars from a member of the applicant's Group, the applicant's Parent, the applicant's legal advisor (where such an advisor is a DNFBP Ancillary Service Provider) or a Person who has applied to be a Controller in relation to the applicant but only where:
- (a) the relevant fee is an application fee under section 2.1, or 2.3 ~~or 2.7~~; and
 - (b) the applicant is in formation and does not have a commercial licence to enable it to open a bank account in its own name.

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2. APPLICATION FEES

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~~2.7 Deleted Application for registration as an Ancillary Service Provider~~

- ~~**2.7.1** An applicant for registration as an Ancillary Service Provider must pay to the DFSA an application fee of \$2,000.~~

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3 PERIODIC FEES

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3.7 Designated Non-Financial Businesses and Professions Ancillary Service Providers (initial period)

3.7.1 ~~An Ancillary Service Provider which is not an Authorised Firm or an Auditor DNFBP in AML Rule 2.2.1(1) (d), (e) and (f)~~ must pay to the DFSA an annual fee of ~~\$1,000~~ \$3,000 for the initial period of registration between the date of the grant of registration and the end of the year.

3.8 Designated Non-Financial Businesses and Professions Ancillary Service Providers (subsequent periods)

3.8.1 ~~An Ancillary Service Provider which is not an Authorised Firm or an Auditor DNFBP in AML Rule 2.2.1(1) (d), (e) and (f)~~ must pay to the DFSA an annual fee of ~~\$1,000~~ \$3,000 for any period of registration after the initial period described in Rule 3.7.1.

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