

Appendix 6

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



The DFSA Rulebook

Fees Module

(FER)

in relation to Consultation Paper No. 86

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) is an Authorised Person;
- (b) is an Auditor;
- (c) a meets part (1) (d), (e) or (f) of the definition of a DNFBP n Ancillary Service Provider; and
- (d) is 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.

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 Person meeting part (1) (d), (e) or (f) of the definition of a DNFBP~~ 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 Person meeting part (1) (d), (e) or (f) of the definition of a DNFBP~~ 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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