

Appendix 2.

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

The DFSA Rulebook

General Module

(GEN)

5 MANAGEMENT, SYSTEMS AND CONTROLS

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5.1 Application

- 5.1.1** (1) Subject to (5), This chapter applies to every Authorised Person with respect to the Financial Services carried on in or from the DIFC.
- (2) It also applies in a Prudential Context to a Domestic Firm with respect to all its activities wherever they are carried on.
- (3) Section 5.3 also applies to an Authorised Firm in a Prudential Context with respect to its entire DIFC branch's activities wherever they are carried on.
- (4) This chapter also applies to an Authorised Market Institution, if it has an endorsed Licence authorising it to maintain an Official List of Securities, with respect to such maintenance. [Added][VER3/04-05]
- (5) Rules 5.3.13, 5.3.14, 5.3.15, 5.3.23, and 5.3.24 do not apply to an Authorised ISPV.

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App 5 FEES

A5.1 Fees table

A5.1.1 The fees table.

[Amended] [VER2/10-04] [Amended]VER3/04-05] [Amended]VER4/08-05]

(a)	Accepting Deposits or Providing Credit	\$50,000
(b)	Dealing in Investments as Principal	\$30,000
(c)	<ul style="list-style-type: none"> <li data-bbox="467 789 1110 825">(i) Dealing in Investments as Agent; or <li data-bbox="467 856 1110 919">(ii) Arranging Credit or Deals in Investments; or <li data-bbox="467 951 1110 987">(iii) Managing Assets; or <li data-bbox="467 1018 1110 1081">(iv) Advising on Financial Products or Credit; or <li data-bbox="467 1113 1110 1148">(v) Providing Custody; or <li data-bbox="467 1180 1110 1215">(vi) Arranging Custody; or <li data-bbox="467 1247 1110 1283">(vii) Insurance Intermediation; or <li data-bbox="467 1314 1110 1350">(viii) Insurance Management; or <li data-bbox="467 1381 1110 1455">(ix) Effecting Contracts of Insurance or Carrying out Contracts of Insurance: <ul style="list-style-type: none"> <li data-bbox="573 1486 1110 1591">(A) where the applicant is intending to carry on business as a Captive Insurer <u>or as an ISPV</u> ; or <li data-bbox="573 1623 1110 1728">(B) where the Authorised Firm is carrying on business as a Captive Insurer <u>or as an ISPV</u> ; or <li data-bbox="467 1780 1110 1854">(x) Managing a Profit Sharing Investment Account; or [Amended][VER11/08-06] 	\$10,000

	(xi)	Providing Trust Services; or [Added][VER7/01-06]	
	(xii)	Providing Fund Administration; or [Added][VER8/04-06] [Amended][VER11/08-06]	
	(xiii)	Acting as the Trustee of a Fund. [Added][VER11/08-06]	
(d)	(i)	Operating an Alternative Trading System; or	\$30,000
	(ii)	Operating a Collective Investment Fund. [Added][VER8/04-06]	
(e)		Effecting Contracts of Insurance or Carrying out Contracts of Insurance:	\$50,000
	(i)	where the applicant is not also intending to carry on business as a Captive Insurer <u>or as an ISPV</u> ; or	
	(ii)	where the Authorised Firm is not carrying on business as a Captive Insurer <u>or as an ISPV</u> .	