

Appendix 5

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

*This text includes amendments proposed in CP [109]: [Crowdfunding: SME Financing through Lending]



The DFSA Rulebook

Fees Module

(FER)

2. APPLICATION FEES

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):

Accepting Deposits or Providing Credit.	\$70,000
.....
.....
Managing an Umbrella Fund:	
(a) for the Umbrella; and	\$8,000
(b) for each Sub-Fund.	\$1,000
Operating a Loan-based Crowdfunding Platform.	\$5,000

.....

3 PERIODIC AND OTHER FEES

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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):

Accepting Deposits or Providing Credit.	\$70,000
.....
.....
Operating a Loan-based Crowdfunding Platform.	\$10,000
.....

(4) The annual fee for an Authorised Firm authorised as a Representative Office is \$4,000.