

Fees Rules (FEES)

*In this attachment underlining indicates new text and striking through indicates deleted text.

1. INTRODUCTION

1.1 Application

1.1.1 These Rules apply to a Person in relation to:

- (a) an application for a Financial Services Permission;
- (b)
- (j) an application for admittance of Securities to the Official List of Securities;

1.1.2 This module also applies to a Person who is an Authorised Person, ~~or~~ a Recognised Body or a Listed Entity.

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1.2.7 (a) In respect of any fee payable in accordance with these rules, the fee must, subject to (b), be paid:

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Guidance

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3. A supplementary fee may be levied by the Regulator in circumstances where it expects to incur substantial additional costs in dealing with a matter. Such circumstances could include, for example:

- a. complex applications by reason of the Applicant's start-up profile, origin, ownership structure or proposed business model;
- b. cases where it may be necessary to conduct intense supervisory scrutiny of an entity from a risk perspective;
- c. complex waiver or modification requests, complex restructurings or changes in an Authorised Person or Recognised Body's structure, or activities which necessitate a change to Rrules; or
- d. novel proposals and applications that cover untested ground or untested areas of the financial services regulatory regime.

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3.7 Recognition as a Recognised Body

3.7.1 (a) An applicant for recognition as either a Recognised Investment Exchange or a Recognised Clearing House must pay to the Regulator an application fee of \$125,000.

- (b) ~~An Recognised Body Authorised Person~~ with a recognition as either a Recognised Investment Exchange or Recognised Clearing House must pay to the Regulator an annual supervision fee of \$60,000.

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3.9 Application for admission of Securities to the Official List of Securities

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- 3.9.2 ~~An Listed Entity~~ with Securities admitted to the Official List of Securities is not required to pay an annual supervision fee to the Regulator.

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~~**4.3 Seeking permission to commence a regulatory proceeding before the Regulatory Committee and/or Appeals Panel**~~

- ~~4.3.1 A Person seeking permission to commence a regulatory proceeding before the Regulatory Committee and/or Appeals Panel must pay to the Regulator a fee of \$5,000 for each regulatory proceeding which it seeks to commence.~~

- ~~4.3.2 The Regulatory Committee and the Appeals Panel, as applicable, retain discretion to waive all or part of any fees payable by the Person making an application under Rule 4.3.1.~~