



SECURITIES MARKETS ORDER, 2013
(S 59/2013)

SECURITIES MARKETS (FEES) REGULATIONS, 2014

ARRANGEMENT OF REGULATIONS

Regulation

1. Citation.
2. Fees.

SCHEDULE



SECURITIES MARKETS ORDER, 2013
(S 59/2013)

SECURITIES MARKETS (FEES) REGULATIONS, 2014

In exercise of the powers conferred by section 268 of the Securities Markets Order, the Authority, with the approval of His Majesty the Sultan and Yang Di-Pertuan, hereby makes the following Regulations –

Citation.

1. These Regulations may be cited as the Securities Markets (Fees) Regulations, 2014.

Fees.

2. The fees for the specific matters are as specified in the Schedule.

SCHEDULE

	Matter	Amount	
		Application	Annual
1.	Capital Markets Services Licence		
	(a) each regulated activity	\$500	\$2000
	(b) additional regulated activity	\$300	\$2000
2.	Capital Markets Services Representative Licence		
	For each regulated activity	\$100	\$100

3.	Collective Investment Scheme (CIS) / Fund (domestic and recognised)	\$500 (for each umbrella fund) \$100 (additional sub-fund)	\$100 (for each umbrella fund and for each sub-fund) \$100 (additional sub-fund) \$50 CIS annual prospectus
4.	Market Operator (domestic and recognised) <i>(a)</i> securities exchange <i>(b)</i> clearing house <i>(c)</i> trading facility <i>(d)</i> credit rating agency	\$1000 \$1000 \$1000 \$500	\$2000
5.	Self-Regulating Organisations including Central Securities Depository Institution	\$1000	
6.	Miscellaneous Notification of ANY changes in particulars, including – <i>(i)</i> amendments to the prospectus; and <i>(ii)</i> Subsequent changes in registration statements (public offering of securities)	\$50	
7.	Registration statement for public offering of securities	\$500	
8.	Copy of Statement of Code (Conduct and statements of principle)	\$10	
9.	Copy of Statement of Policy	\$10	

Made this
corresponding to the

21st day of *Rabiulawal*
12th day of *January*

1436 Hijriah

2014. 20 15 *Jan*



Managing Director,

Autoriti Monetari Brunei Darussalam.