

No. S 4

**SECURITIES MARKETS ORDER, 2013**  
**(S 59/2013)**

**SECURITIES MARKETS (FEES) REGULATIONS, 2015**

**ARRANGEMENT OF REGULATIONS**

**Regulation**

1. Citation.
2. Fees.

**SCHEDULE**

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**SECURITIES MARKETS ORDER, 2013**  
(S 59/2013)

**SECURITIES MARKETS (FEES) REGULATIONS, 2015**

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, 2015.

**Fees.**

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

**SCHEDULE**

	Matter	Amount	
		Application	Annual
1.	<b>Capital Markets Services Licence</b> <i>(a)</i> each regulated activity <i>(b)</i> additional regulated activity	\$500 \$300	\$2000 \$2000
2.	<b>Capital Markets Services Representative Licence</b> For each regulated activity	\$100	\$100
3.	<b>Collective Investment Scheme (CIS)/ Fund</b>  (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

## SCHEDULE – (Continued)

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

Made this 21st. day of Rabiulawal, 1436 Hijriah corresponding to the 12th. day of January, 2015.

AWANG YUSOF BIN HJ ABD RAHMAN  
Managing Director,  
Autoriti Monetari Brunei Darussalam.