

P.U.(A) 239/2000

Incorporating latest amendment - P.U.(A) 176/2004 (CIF: 1 July 2000)

SECURITIES COMMISSION ACT 1993 [ACT 498]

SECURITIES COMMISSION (FEES) REGULATIONS 2000

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SECURITIES COMMISSION (FEES) REGULATIONS 2000

IN exercise of the powers conferred by section 159 of the Securities Commission Act 1993 [Act 498], the Securities Commission, with the approval of the Minister, makes the following regulations:

Citation and commencement.

1. (1) These regulations may be cited as the **Securities Commission (Fees) Regulations 2000**.

(2) These Regulations shall come into operation on 1 July 2000.

Fees in respect of registration of prospectus.

2. (1) The fees set out in the First Schedule shall be payable to the Commission in respect of applications for registration of prospectuses by the Commission.

(2) The fees referred to in subregulation (1) shall be payable at the time an application for registration of a prospectus is submitted to the Commission.

(3) The fees referred to in subregulation (1) shall be payable whether the Commission registers or refuses to register the prospectus.

Fees in respect of matters other than registration of prospectus.

3. (1) Subject to subregulation (2), the fees set out in the Second Schedule shall be payable to the Commission in respect of such matters other than the registration of prospectuses.

(2) In computing the amount of fees payable in respect of any proposal submitted, the following conditions shall apply:

- (a) in respect of any revised proposal submitted, additional fees computed at the rate of ten per cent of the total amount of fees paid in respect of the original submission shall be payable;
- (b) in respect of any appeal to the Commission, an amount of three thousand ringgit or ten percent of the amount specified in the Second Schedule, whichever is the higher shall be payable;
- (c) where a proposal is withdrawn after it is submitted to the Commission, fifty percent of the amount of fees specified in the Second Schedule shall be payable;
- (d) where a proposal is rejected by the Commission, ten percent of the amount of fees specified in the Second Schedule shall be payable; and
- (e) notwithstanding paragraph (d), where a proposal for establishment of new unit trust scheme has been rejected by the Commission, an amount of eight thousand ringgit shall be payable.

[Subs. P.U.(A) 176/2004]

Fees for acts of Commission.

4. (1) The prescribed fees payable to the Commission in respect of the lodgement of a document with, or the registration of a document by, the Commission or in respect of any application for approval shall be paid at the time the document is delivered to the Commission for lodgement or registration or at the time the application for approval is submitted to the Commission.

(2) Where a fee is payable for or in respect of the lodgement of a document with or the registration of a document by, the Commission or in respect of any application for approval and the document submitted for lodgement or registration or the application for approval is submitted without the payment of the fee, the document shall be deemed not to have been lodged with or submitted for registration or the application shall be deemed not to have been submitted until the fee has been paid.

FIRST SCHEDULE (Regulation 2)

**SCHEDULE OF FEES PAYABLE IN RESPECT OF SUBMISSION AND
REGISTRATION OF PROSPECTUSES IN RELATION TO SECURITIES OTHER
THAN UNIT TRUST SCHEMES**

<i>Serial No.</i>	<i>Description</i>	<i>Prospectus (RM)</i>	<i>Abridged (RM)</i>	<i>Supplementary Prospectus (RM)</i>
1.	Submission of prospectus	10,000	7,000	5,000
2.	Registration of prospectus	5,000	1,500	1,500
3.	Processing of waiver application from Prospectus Guidelines	3,500	3,500	3,500
4.	Processing of appeal on waiver decision	2,500	2,500	2,500
5.	Withdrawal of prospectus prior to registration	5,000	3,500	2,500
6.	Withdrawal of waiver application	1,750	1,750	1,750

[Subs. P.U.(A) 176/2004]

**SCHEDULE OF FEES PAYABLE IN RESPECT OF SUBMISSION AND
REGISTRATION OF PROSPECTUSES IN RELATION TO UNIT TRUST SCHEMES
AND PRESCRIBED INVESTMENT SCHEMES**

<i>Serial No.</i>	<i>Description</i>	<i>Fees</i>
1.	Submission of prospectus	RM3,000 + RM100 per fund established under any unit trust scheme or prescribed investment scheme
2.	Registration of prospectus for new unit trust scheme and prescribed investment scheme	RM3,000 + RM500 per fund established under any unit trust scheme or prescribed investment scheme
3.	Registration of prospectus for renewal of prospectus	RM1,500 + RM250 per fund established under any unit trust scheme or prescribed investment scheme
4.	Registration of supplementary prospectus	RM1500
5.	Registration of abridged prospectus	RM1500
6.	Submission of supplementary prospectus	RM1000

[Subs. P.U.(A) 176/2004]

SECOND SCHEDULE (Regulation 3)

SCHEDULE OF FEES PAYABLE IN RESPECT OF MATTER OTHER THAN REGISTRATION OF PROSPECTUSES

<i>Serial No.</i>	<i>Description</i>	<i>Fees</i>
1.	Deed submission fee	RM3,000 + RM100 per fund established under any unit trust or scheme or prescribed investment scheme
2.	Registration of deed in relation to unit trust schemes and prescribed investment schemes	RM3,000 + RM500 per fund established under any unit trust scheme or prescribed investment scheme.
3.	Submission of supplementary deed	RM1,000
4.	Registration of supplementary deed	RM1,000
5.	Approval of management company	RM5,000
6.	Approval of trustee	RM3,000
7.	Lodging of documents	RM100 per document
8.	Inspection by any person of any document lodged with the Commission	RM10 per document
9.	A copy of or an extract from any document lodged with the Commission	RM1 per page
10.	Certified true copy of any document lodged with the Commission.	RM5 per page

<i>Serial No.</i>	<i>Description</i>	<i>Fees</i>
11.	Establishment of new scheme	RM8,000 per fund established under any unit trust scheme or prescribed investment scheme
12.	Increase in fund size limit	RM2,000 per fund established under any unit trust scheme or prescribed investment scheme
13.	Exemption or variation from Guidelines on Unit Trust Funds and Property Trust Funds	RM500 per exemption/variation per fund established under any unit trust scheme or prescribed investment scheme
14.	Extension of time from compliance with Guidelines on Unit Trust Funds or Commission's condition of approval	RM1,000 per application
15.	Restructuring of management company	RM2,000 per application
16.	Delivery or deposit of any document, statement, book or particular as required by the Commission	RM50 per document type
17.	Appointment of Chief Executive Officer and Board of Directors of the management company	RM500 per person per application and per fund established under any unit scheme or prescribed investment scheme
18.	Appointment of investment committee members, syariah committee member or syariah advisers of the fund	RM500 per person per application and per fund established under any unit trust scheme or prescribed investment scheme

<i>Serial No.</i>	<i>Description</i>	<i>Fees</i>
19.	Registration or re-registration of syariah committee member or syariah adviser of the fund	No fee
20.	Appointment of foreign fund manager or adviser of the fund	RM2,500
21.	Appointment of delegate not licensed by Commission for management company	RM1,000
22.	Investment in foreign markets	No fee
23.	Other applications where no fees are specifically provided	RM1,000 per application

* Fund for the purposes of this schedule will include sub-funds.

[Subs. P.U.(A) 176/2004]

Made 26 June 2000.

[S(8. 02) 443-20; PN(PU²) 523/II]

ALI ABDUL KADIR
Chairman,
Securities Commission

Approved 26 June 2000.

[Perb. S(8. 02) 443-20 Sj. 5; PN(PU²) 523/II]

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