



CRIS: ASIC INDUSTRY FUNDING MODEL

This document is part of [ASIC's CRIS](#). It should be read in conjunction with the other documents that make up the CRIS, including the key terms.

ASIC's fees-for-service schedules

- 1 Table 1 sets out the schedule of our flat fees for service. Table 2 sets out our tiered fees for service. Forms with no fees attached are those that do not require a regulatory decision.

Table 1: Flat fees for service for our regulatory activities

Form code	Form description	Fee
116	Scheme for transfer and amalgamation of life insurance business (includes s116A)—Scheme for transfer and amalgamation of general insurance business	\$2,695
145	Application for registration of disclosure statement (demutualisation)	\$2,695
342	Application for consent from ASIC to resign as an auditor of a public company	\$40
517	Application for extension of time for dealing with formal proof of debt/claim	\$156
568	Application for extension of time to lodge a declaration of solvency	\$156
569	Application for extension of time to pass a resolution regarding voluntary winding up	\$156
572	Application for direction that s532(6) does not apply	\$156
575	Application to direct liquidators to incur expenses	\$156
584	Application for the Commonwealth to exercise powers of defunct company	\$934
595	Draft explanatory statement regarding compromise or arrangement Note: Fee includes Form 592 Notice of hearing for scheme of arrangement.	\$5,290
671	Lodging a notice under paragraph 654C(3)(b) in relation to a bidder's voting power	No fee

Form code	Form description	Fee
675	Supplementary statement regarding takeover bid Note: Fee also applies to subforms 675A and 675B.	\$802
752	Document lodged in relation to short form prospectus	\$321
754B	Replacement prospectus for equities Note: Fee also applies to subforms 754BA and 754BB.	\$802
754E	Replacement offer information statement Note: Fee also applies to subforms 754EA and 754EB.	\$321
754F	Replacement profile statement Note: Fee also applies to subforms 754FA and 754FB.	\$321
754G	Replacement short form prospectus for equities Note: Fee also applies to subforms 754GA and 754GB.	\$802
764B	Prospectus for equities Note: Fee also applies to subforms 764BA and 764BB.	\$3,206
764E	Offer information statement Note: Fee also applies to subforms 764EA and 764EB.	\$1,924
764F	Profile statement Note: Fee also applies to subforms 764FA and 764FB.	\$1,924
764G	Short form prospectus for equities	\$3,206
764K	PDS lodgement	\$1,993
766B	Supplementary disclosure document for equities	\$802
771	Permission to act as a debenture trustee	\$16,030
875	Offer document—Mutual recognition scheme Note: Same as Form N/A7.	\$321
876	Supplementary or replacement document—Mutual recognition Note: Same as Form N/A8.	\$160
877	Change to offer document—Mutual recognition scheme	\$160
903AA and 903AC	Application for registration as an auditor	\$338
903AB and 903AD	Application for registration as an authorised audit company	\$3,429

Form code	Form description	Fee
903B	Application for registration as a liquidator Note: Fee also applies to subforms 903BA and 903BB. The registration fee applies to Form RL50.	\$2,200 (application fee) \$1,300 (registration fee)
917A and 917B	Application to vary conditions imposed on auditor's registration	\$1,028
975	Application for extension of time for annual statement by liquidator	\$156
5030	Registration copy of explanatory statement	\$321
5054	Application for extension of time for dealing with formal proof of debt/claim	\$156
5057	Related party benefits—Proposed notice, explanatory statement and accompanying documents Note: Fee also applies to subforms 5057A–5057D.	\$802
5071	Application for direction that paragraph 448C(3)(b) does not apply	\$156
5100	Application for registration of managed investment scheme Note: Fee also applies to subforms 5100A, 5100B and 5100C. Fee includes Form 5101A <i>Notification of change to managed investment scheme's constitution</i> , Form 5102A <i>Compliance plan for managed investment scheme</i> and Form 5103 <i>Directors' statement relating to application for registration of a managed investment scheme</i> .	\$3,029
5107	Notification of change of responsible entity of a registered scheme Note: Fee also applies to subforms 5107A–5107D.	\$1,187
5108	Notification of appointment of temporary responsible entity	\$1,187
5109	Notification of request by temporary responsible entity to add new responsible entity	\$1,187
5112	Application for consent to remove compliance plan auditor	\$791
5113	Application for consent to resign as compliance plan auditor	No fee
5127	Notice of proposed modification to prescribed interest deed	\$478
5128	Notice of ratification of modification to deed	\$478
5605	Application for ASIC to appoint a reviewing liquidator	\$156
6019	Application for voluntary transfer determination under s601WBA	\$5,775
6021	Notice of compulsory acquisition following takeover bid—Notice to dissenting member	\$802
6022	Notice of right of buy out to remaining holder of securities following a takeover bid	\$641

Form code	Form description	Fee
6023	Notice of right of buy out to holders of convertible securities following a takeover bid	\$160
6024	Notice of compulsory acquisition	\$802
6025	Notice of right of buy out to holders of convertible securities by 100% holder	\$160
6026	Notice of objection regarding compulsory acquisition/buy out	\$802
6027	List of members objecting to compulsory acquisition/buy out	\$160
6181	Bidder's statement and offer—Off market Note: Fee also applies to subforms 6181A and 6181B. Fee includes Form 670 <i>Notice of date set for determining holders of securities—Off market</i> , Form 672 <i>Notice of status of defeating condition—Unquoted bid class securities (including subforms 672A and 672B)</i> , Form 6011 <i>Notice of service of bidder's statement—Off market</i> , and Form 6201 <i>Notice that takeover offers have been sent—Off market</i> .	\$5,264
6211	Target statement and reports—Off market	\$2,565
6261	Notice of offers free of defeating condition—Off market bid	\$160
6291	Takeover bidder's statement and documents sent to securities exchange—On market Note: Fee also applies to subforms 6291A and 6291B. Fee includes Form 6301 <i>Document accompanying bidder's statement—On market</i> .	\$5,130
6321	Notice of variation in takeover offer Note: Fee also applies to subforms 6321A and 6321B.	\$802
6331	Target statement and report—On market	\$2,565
7000A	Covenants not required under s1069(3)	\$3,587
7000D	Trust deed under s1084(2)	\$159
7000E	Trust deed under s1094(6)	\$159
7015	Application for discharge of security Note: Fee also applies to subforms 7015A–7015D.	\$1,284
7021	Executed deed Note: Fee also applies to subforms 7021A and 7021B.	\$478
7070	Application to revoke approval of a trustee or representative	\$1,196
7078	Application by charity to register identification statement	\$2,391
7096	Application to vary conditions of approval to a person acting as trustee or representative	\$1,196
TBC	Eligible applicant requests	\$468

Form code	Form description	Fee
TBC	Application for benchmark administrator licence (s908BD)	\$85,888
TBC	Application to be exempted from requirement to hold benchmark administrator licence	\$38,651
TBC	Application to have financial benchmark removed from ASIC's declaration of significant benchmarks	\$38,651
CA912	Application for approval of alternative arrangements under s912B(2)(b)	\$1,540
CH5DA	Application to exceed voting power limit—Licensed trustee company	\$11,550
CH5DB	Application to extend the period for voting power limit approval—Licensed trustee company	\$5,775
CH5DC	Application to vary voting power limit approval—Licensed trustee company	\$5,775
CL51	Application for extension of time to lodge an annual compliance certificate	\$1,155
CL73	Application for extension of time to lodge credit trust accounts Note: Fee also applies to subforms CL73A and CL73B.	\$1,155
CR762	Application for approval of guarantees under reg 7.6.02AAA(3)(b)	\$1,540
TBC	Clearing and settlement facility licence—Application for revocation of exemption	No fee
TBC	Clearing and settlement facility licence—Application for imposing licence conditions	\$38,651
F104	Document lodged under item 7 of s611—Corporate finance	No fee
FS64	Request for voluntary suspension of an Australian financial services licence	\$899
FS65	Request to revoke Australian financial services licence	\$899
FS68	Application to vary or revoke Australian financial services licence suspension	\$899
M02	Application for exemption under s791C—Markets	\$38,651
M03	Notice of changes to operating rules under s793D(3) (overseas markets) Note: Fee also applies to subforms M03A and M03B.	\$1,549
M04	Application for exemption under s820C(1)—Clearing and settlement facility	\$38,651
M07	Notice of changes to Securities Exchanges Guarantee Corporation operating rules s890G(1)	\$38,651
M10	Application for variation of market licence—Change of name (s797A(1))	\$1,549
M11	Application for exemption or declaration under s1075A(1)	\$17,590

Form code	Form description	Fee
M12	Application for declaration under s1073E(1)	\$17,590
M15	Change of name—Clearing and settlement facility licence	\$1,549
M16	Application for approval to exceed 15% voting power limit (s851A(1))	\$158,350
M17	On giving the Minister or ASIC information under the regulations made for the purposes of s854A(1)(c)	\$230
M18	Application for approval of compensation arrangements (s882B(1))	\$15,462
M19	Application for change to a matter not in compensation rules (s884C(2))	\$38,651
M20B	Notice of changes to operating rules under s822D(3) (overseas clearing and settlement facilities)	\$1,549
M21	Notice of change to matter dealt with in compensation rules (s884B(2))	\$38,651
M24	Application for exemption and modification for self-listed licensee or related body corporate	\$17,180
M31	Application for ASIC to make decisions and take action in conflict or potential conflict situations	\$3,487
M66	Application for market integrity rule waiver	\$14,775
TBC	Application for revocation of exemption—Markets	No fee
TBC	Application to impose licence conditions—Markets	\$38,651
MI-102	Application for imposition or variation of conditions on a trade repository licence	\$38,651
TBC	Application to impose licence condition (s908BG(2)(a)), or vary or revoke licence condition (s908BG(2)(b)), on a benchmark administrator licence	\$38,651
TBC	Application to cancel or suspend benchmark administrator licence (s908BI(1)(c))	\$12,886
TBC	Application for revocation or cancellation of Australian market (s797B(c))	No fee
TBC	Application for revocation or cancellation of clearing and settlement facility licence (s826B(c))	No fee
TBC	Application for revocation or cancellation of Australian trade repository licence (s905H(c))	No fee
TBC	Application to vary benchmark administrator licence to change of name of administrator (s908BH(a))	\$1,549
TBC	Application to change details of benchmark administrator licence (s908BH(b))	\$38,651

Form code	Form description	Fee
TBC	Application to add one or more financial benchmarks to benchmark administrator licence (s908BH(c))	\$38,651
N/A5	Australian trade repository licence application	\$154,598
Not applicable	Application for relief—Standard and novel	\$3,487
Not applicable	Application or request for ASIC to provide a consent or approval under an instrument made under s655A, 669 or 673 of the Corporations Act (including a provision notionally inserted into Chs 6, 6A or 6C by that instrument)	No fee
SFREG	Self-managed superannuation funds—Application to register as an auditor	\$2,191
SFCAN	Self-managed superannuation funds—Application for cancellation of registration as SMSF auditor	\$193
SFVAR	Self-managed superannuation funds—Application to vary conditions imposed on SMSF auditor's registration	\$678
PF225	Pro Forma 225 Deed of mutual release	\$1,798
PF63	Pro Forma 63 Deed of subordination	\$1,798
RL06	Application to remove or vary conditions or lift or shorten suspension	\$1,018
RL08	Request to cancel or suspend registration as a liquidator	\$234
TBC	For the performance by a member of ASIC, or an ASIC staff member, of the functions under s798DA (market licensee, related body corporate or competitor competing in market)	As in reg 5 of the Fees Regulations (new hourly rate of \$175.95 up to a maximum of \$300,000 in a 12-month period)
TBC	Australian trade repository licence—Change of name	\$1,549
TBC	Markets—Application for variation of exemption on clearing and settlement facility licence	\$17,179
TBC	Markets—Application for variation of exemption for a financial market or particular type of financial market	\$17,179
TBC	Approval of compensation arrangements under s48(2)(b) of the National Credit Act and reg 12 of the National Consumer Credit Protection Regulations 2010	\$1,540
XFRACS	Application to approve a compliance scheme under s921K(1)	\$10,147
5058	Application to reduce period for s218 notice of meeting	\$130

Form code	Form description	Fee
M25	Application for declaration under s1071h	\$323

Table 2: Tiered fees for service for our regulatory activities**Form CL01 Australian credit licence application (electronic format)**

Applicant type	Authorisation	Fee
Individual	Other than credit provider	\$1,798
Individual	Credit provider	\$3,468
Other than an individual	Other than credit provider	\$2,055
Other than an individual	Credit provider	\$4,624

Note: Fee also applies to subforms CL1AA, CL1AB, CL1AC, CL1AD, CL1AE, CL1AF, CL1AG, CL1AH, CL1AI, CL1BA, CL1BB, CL1BC, CL1BD, CL1BE, CL1BF, CL1BG, CL1BH, CL1BI, CL1CA, CL1CB, CL1CC, CL1CD, CL1CE, CL1CF, CL1CG, CL1CH, CL1CI, CL1DA, CL1DB, CL1DC, CL1DD, CL1DE, CL1DF, CL1DG, CL1DH, CL1DI, CL1Z.

Form CL01 Australian credit licence application (paper format)

Applicant type	Authorisation	Fee
Individual	Other than credit provider	\$1,823
Individual	Credit provider	\$3,493
Other than an individual	Other than credit provider	\$2,080
Other than an individual	Credit provider	\$4,649

Form CL03 Vary authorisations or conditions of an Australian credit licence (electronic format)

Applicant type	Authorisation	Fee
Individual	Credit provider	\$2,183
Individual	Other than a credit provider	\$1,156
Other than an individual	Credit provider	\$2,826
Other than an individual	Other than a credit provider	\$1,284

Note: Fee also applies to subforms CL03A, CL03B, CL03C and CL03Z.

Form CL03 Vary authorisations or conditions of an Australian credit licence (paper format)

Applicant type	Authorisation	Fee
Individual	Credit provider	\$2,208
Individual	Other than a credit provider	\$1,181

Applicant type	Authorisation	Fee
Other than an individual	Credit provider	\$2,851
Other than an individual	Other than a credit provider	\$1,309

Form FS01 Australian financial services licence application (electronic format)

Client type	Applicant type	Complexity level	Fee
Retail	Individual	Low	\$2,233
Retail	Individual	High	\$5,025
Retail	Other than an individual	Low	\$3,721
Retail	Other than an individual	High	\$7,537
Wholesale	Individual	Low	\$1,488
Wholesale	Individual	High	\$3,350
Wholesale	Other than an individual	Low	\$2,233
Wholesale	Other than an individual	High	\$5,025

Note: Fee also applies to subforms FS01A–FS01H, FS01J–FS01Q and FS01Z.

Form FS01 Australian financial services licence application (paper format)

Client type	Applicant type	Complexity level	Fee
Retail	Individual	Low	\$3,349
Retail	Individual	High	\$7,537
Retail	Other than an individual	Low	\$5,582
Retail	Other than an individual	High	\$11,305
Wholesale	Individual	Low	\$2,233
Wholesale	Individual	High	\$5,025
Wholesale	Other than an individual	Low	\$3,349
Wholesale	Other than an individual	High	\$7,537

Note: Fee also applies to subforms FS01A–FS01D, FS01AA, FS01BA.

Form FS03 Application to vary the authorisation conditions and other conditions of an Australian financial services licence (electronic format)

Applicant type	Fee
Individual	\$2,214

Applicant type	Fee
Other than an individual	\$2,470

Note: Fee also applies to subforms FS03A, FS03B, FS03C and FS03Z.

Form FS03X Application to vary the authorisation conditions and other conditions of an Australian financial services licence (paper format)

Applicant type	Fee
Individual	\$3,328
Other than an individual	\$3,704

Form M01 Application for an Australian Markets Licence

Complexity level	Fee
Low	\$15,462
Medium	\$85,888
High	\$154,596

Form M03 Notice of changes to operating rules subsection 793D(1)

Complexity level	Fee
Low	\$2,580
Medium	\$18,035
High	\$44,660

Note: Fee also applies to subforms M03A and M03B.

Form M20 Notice of changes to operating rules section 822D(1)

Complexity level	Fee
Low	\$2,580
Medium	\$18,035
High	\$44,660

Note: Fee also applies to subforms M20A and M20B.

Form M22 Application for an Australian Clearing and Settlement facility licence

Complexity level	Fee
Low	\$15,462
Medium	\$85,888

Complexity level	Fee
High	\$154,596

Form RL05 *Application for renewal of registration by a registered liquidator*

Timing of submission	Fee
Standard—lodged within one month before renewal date	\$1,920
Early bird—lodged more than one month before renewal date	\$1,720

Note: Fee also applies to subforms RL05A and RL05B.