## ASIC industry funding: Summary of 2020-21 actual levies





Subsector	Actual cost recovery amount (FY 2020-21)	Number of entities	Levy metric and description	Actual levy amounts <sup>1</sup> (FY 2020-21)			
Corporate sector							
Listed corporations	\$58.247m	2,125	Market capitalisation and number of days authorised	Minimum levy of \$4,000 plus \$0.31 per \$10,000 of market capitalisation above \$5 million. Maximum levy of \$614,512, for entities with a market capitalisation of greater than \$20 billion			
Unlisted public companies	\$2.973m	15,006	Flat levy	\$198			
Large proprietary companies	\$7.925m	9,480	Flat levy	\$836 less \$4 collected via the annual review fee			
Auditors of disclosing entities	\$7.823m	123	Audit fee revenue	\$136 per \$10,000 of revenue			
Registered company auditors	\$1.807m	3,657	Flat levy	\$494			
Registered liquidators	\$5.125m	664	Number of external administration appointments and/or notifiable event	Minimum levy of \$2,500 plus \$75.12 per appointment and notifiable event			
Deposit taking and credit sector							
Credit providers (including small and medium amount credit providers)	\$33.057m	1,064	Credit provided in the financial year (contracts other than small and medium amount credit contracts)	Minimum levy of \$2,000 plus \$0.50 per \$10,000 of credit provided above \$100 million (for other than small and medium amount credit contracts)			
Small and medium amount credit providers	\$4.897m	227	Credit provided in the financial year under small and medium amount credit contracts	\$37.46 per \$10,000 of credit provided under small and medium credit contracts			
Credit intermediaries	\$11.362m	4,413	Credit representatives and number of days authorised	Minimum levy of \$1,000 plus \$184.31 per credit representative			
Deposit product providers	\$7.521m	199	Total deposits	Minimum levy of \$2,000 plus (if the entity's metric exceeds \$10 million) \$2.79 per \$1 million of total deposit liabilities above \$10 million			
Payment product providers	\$2.406m	665	Revenue from payment product provider activity	Minimum levy of \$2,000 plus \$2.46 per \$10,000 of total revenue from payment product provider activity			
Margin lenders	\$0.070m	23	Number of days authorised	\$3,059			
Investment management, superannuation and related services sector							
Superannuation trustees	\$26.948m	107	Adjusted total assets and number of days authorised	Minimum levy of \$18,000 plus \$12.33 per \$1 million of assets above the \$250 million threshold			
Responsible entities	\$25.204m	437	Adjusted total assets and number of days authorised	Minimum levy of \$7,000 plus \$14.65 per \$1 million of assets above the \$10 million threshold			
Wholesale trustees	\$3.008m	1,742	Adjusted total assets and number of days authorised	Minimum levy of \$1,000 plus \$1.75 per \$1 million of adjusted total assets			
Operators of notified foreign passport funds	\$0.007m	-	Adjusted total assets and number of days authorised	No leviable entities			
Custodians	\$0.311m	1,188	Flat levy	\$262			
Investor directed portfolio service (IDPS) operators	\$0.953m	86	Revenue from IDPS activity	Minimum levy of \$10,000 plus \$1.52 per \$10,000 of revenue			
Managed discretionary account (MDA) providers	\$2.418m	250	Number of days authorised	\$10,160			
Traditional trustee company service providers	\$0.278m	11	Number of days authorised	\$25,262			
Market infrastructure sector							
Large securities exchange operators	\$4.601m	2	Value of transactions	\$2.28 per \$1 miliion of total transactions			
Large futures exchange operators	\$1.427m	1	Number of days authorised for each exchange	\$1,426,999			
Small futures exchange operators	\$0.640m	1	Number of days authorised for each exchange	\$639,776			
Small securities exchange operators with self- listing function only	\$0.001m	1	Number of days authorised for each exchange	\$934			
Small securities exchange operators	\$0.570m	2	Number of days authorised for each exchange	\$285,014			
New specialised market operators	\$0.004m	1 entities operating 1 market	Number of days authorised for each market	\$3,736			

Benchmark administrator licensees \$0.424m 2 Number of days authorised for each financial benchmark administrator licensees \$0.424m 2 Number of days authorised for each financial benchmark administrator licensees sector  Large securities exchange participants \$19,942m 66 Volume of transactions and messages Minimum levy of \$9,000 plus \$0.0173 per transaction summer levels \$0.00041 per message large for each summer levels \$0.00041 per message large futures exchange participants \$3.624m 37 Volume of lots and messages Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.00041 per message large for each summer levels \$0.00041 per message large futures exchange participants \$3.624m 37 Volume of lots and messages Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.00041 per message large for each summer levels \$0.00041 per message large for each summer levels \$0.00041 per section \$0.00041 per message large for each summer levels \$0.00041 per section \$0.00041 per message large for each summer levels \$0.00041 per section \$0.00041 per s	Subsector	Actual cost recovery amount (FY 2020-21)	Number of entities	Levy metric and description	Actual levy amounts <sup>1</sup> (FY 2020-21)
Exempt clearing and settlement (CS) facility operators   \$0.044m   \$1   Number of days authorised for each facility   \$3.687	Established specialised market operators	\$0.685m	1 0	Number of days authorised for each market	\$34,273
Departions   SUU-99h   S	Overseas market operators	\$0.441m	26 markets (24.07*	Number of days authorised for each market	\$17,587
Tier 2.CS facility operators \$0.171m 1 Number of days authorised for each facility \$371,301 Tier 3.CS facility operators \$0.001m 1 Number of days authorised for each lacility \$384  Australian derivative trade repository operators \$0.001m 1 Number of days authorised for each tracility \$394  Australian derivative trade repository operators \$0.008m 5 Number of days authorised for each trade repository \$127,712  Exempt market operators \$0.008m 5 Number of days authorised for each market \$19,810 Credit rating agencies \$0.008m 8 (including 3 with a supervisory college) Benchmark administrator licensees \$0.424m 2 Number of days authorised Number of days authorised for each financial benchmark administrator licensees \$0.424m 2 Number of days authorised Number of days au	. , ,	\$0.004m	1	Number of days authorised for each facility	\$3,587
Tier 3 CS facility operators \$0.026m 1 Number of days authorised for each facility \$26.015 Tier 4 CS facility operators \$0.001m 1 Number of days authorised for each facility \$39.34 Australian derivative trade repository operators \$0.127m 1 Number of days authorised for each facility \$39.34 Australian derivative trade repository operators \$0.088m 5 Number of days authorised for each fracility \$127,212 Tier 4 CS facility operators \$0.088m 5 Number of days authorised for each fracility \$127,212 Tier 4 Number of days authorised for each fracility \$127,212 Tier 4 Number of days authorised for each fracility \$13,810 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Number of days authorised for each financial supervisory college \$127,212 Tier 4 Tier	Tier 1 CS facility operators	\$1.600m	4	Number of days authorised for each facility	\$399,905
Tier 3 CS facility operators \$0.026m	Tier 2 CS facility operators	\$0.171m	1	Number of days authorised for each facility	\$171,301
Tier 4 CS facility operators  Australian derivative trade repository operators  \$0.027m  1 Number of days authorised for each trade repository \$127,212  Exempt market operators  \$0.068m  \$0.068m  6 (including 3 with a supervisory college)  Benchmark administrator licensees  \$0.068m  \$0.068m		\$0.026m	1	Number of days authorised for each facility	\$26,015
Australian derivative trade repository operators    So. 127m	, .	\$0.001m	1	·	
Credit rating agencies \$0.056m   \$6 (including) 3 with a supervisory college)   Number of days authorised   Minimum levy of \$2.000 plus \$14.589 for CRAs w supervisory college)   Rumber of days authorised for each financial benchmark administrator licensees   \$0.424m   2   Number of days authorised for each financial   \$228,954    Market intermediaries sector   Large securities exchange participants   \$19.942m   66   Volume of transactions and messages   Minimum levy of \$9,000 plus \$0.0173 per transaction \$0.0004 per message   Large futures exchange participants   \$3.624m   37   Volume of lots and messages   Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.0000 plus \$0.0092 per lot and \$0.0000 plus \$0.0092 per lot and \$0.0000 plus \$0.0000 plus \$0.0000 plus \$0.0092 per lot and \$0.0000 plus \$0.0000 pl		\$0.127m	1	·	\$127,212
Supervisory college	Exempt market operators	\$0.068m		Number of days authorised for each market	
Benchmark administrator licensees   \$0.424m   2   benchmark administered   \$228,954	Credit rating agencies	\$0.056m	\ \	Number of days authorised	Minimum levy of \$2,000 plus \$14,589 for CRAs with a supervisory college
Large securities exchange participants  \$19,942m  66  Volume of transactions and messages  Minimum levy of \$9,000 plus \$0.0173 per transaction \$0.00041 per message  Large futures exchange participants  \$3,624m  37  Volume of lots and messages  Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.000 plus \$0.0092 per lot and \$0.000 plus \$0.0092 per lot and \$0.000 plus \$0.0000 plus \$	Benchmark administrator licensees	\$0.424m	2		\$228,954
Large securities exchange participants  S19.94/m  37  Volume of lots and messages  \$0,00041 per message  Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.0 message  Securities dealers  \$1.945m  \$1,109  Annual transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Corporate advisers  \$1.665m  \$44  Revenue from corporate advisory activity  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Minimum levy of \$1,000 plus \$4.81 per \$1 million of transaction turnover value  Securities dealers  \$1.665m  \$1.405m  \$1.665m  \$1.405m  \$1.405m  \$1.407m  \$1.	Market intermediaries sector				
Securities dealers \$1,945m	Large securities exchange participants	\$19.942m	66	Volume of transactions and messages	Minimum levy of \$9,000 plus \$0.0173 per transaction and \$0.00041 per message
Securities dealers  \$1.945m \$1,109 Annual transaction turnover Value  transaction turnover  Corporate advisers  \$1.665m \$344 Revenue from corporate advisory activity  Minimum levy of \$1,000 plus \$4.08 per \$10,000 of trevenue above the \$100,000 threshold revenue above the \$100,000 the \$100	Large futures exchange participants	\$3.624m	37	Volume of lots and messages	Minimum levy of \$9,000 plus \$0.0092 per lot and \$0.0015 per message
Corporate advisers  \$1.665m  \$1.665m  \$1.665m  \$2.77  FTE staff engaged in OTC trading activity  Retail OTC derivatives issuers  \$10.559m  \$10.559m  \$10.559m  \$10.559m  \$10.087m  \$2.168  Financial advice sector  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to  \$0.085m  \$1,707  Flat levy  \$584  Licensees that provide personal advice to  wholesale clients only  Insurance sector  Insurance product providers  \$24.595m  \$94  Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of rabove the \$5 million threshold  Insurance product distributors  \$9000	Securities dealers	\$1.945m	1,109	Annual transaction turnover value	Minimum levy of \$1,000 plus \$4.81 per \$1 million of annual transaction turnover
Retail OTC derivatives issuers \$10.559m 98 Number of days authorised \$113,407  Wholesale electricity dealers \$0.087m 40 Flat levy \$2,168  Financial advice sector  Licensees that provide personal advice to retail clients on relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only \$0.603m 1,031 Flat levy \$318  Licensees that provide personal advice to wholesale clients only  First engaged in OTC trading activity  OTC trading activity  OTC trading activity  S13,407  Advisted number of days authorised  Minimum levy of \$1,500 plus \$1,142 per advise register and number of advisers on the financial advisers register and number of days authorised  Number of days authorised  \$318  Number of days authorised  \$318  Flat levy  \$584  Licensees that provide general advice only  \$0.085m  \$1,707  Flat levy  \$50  Insurance sector  Insurance product providers  \$24.595m  94  Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of rabove the \$5 million threshold  Insurance product distributors  \$30.11m  \$3,345  Flat levy  \$900	Corporate advisers	\$1.665m	344	Revenue from corporate advisory activity	Minimum levy of \$1,000 plus \$4.08 per \$10,000 of total revenue above the \$100,000 threshold
Wholesale electricity dealers \$0.087m 40 Flat levy \$2,168  Financial advice sector  Licensees that provide personal advice to retail clients on relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to wholesale clients only  Licensees that provide general advice only  Licensees that provide personal advice to wholesale clients only  Insurance sector  S24.595m  94 Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of above the \$5 million threshold  Insurance product distributors  \$3.011m  3,345 Flat levy  \$900	Over-the-counter (OTC) traders	\$8.725m	77	FTE staff engaged in OTC trading activity	Minimum levy of \$1,000 plus \$3,820 per FTE staff engaged in OTC trading activity
Financial advice sector  Licensees that provide personal advice to retail clients on relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide general advice only  Licensees that provide general advice only  Licensees that provide personal advice to  \$0.603m  1,031  Flat levy  \$584  Licensees that provide personal advice to  \$0.085m  1,707  Flat levy  \$50  Insurance sector  Insurance product providers  \$24.595m  94  Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of to above the \$5 million threshold  Insurance product distributors  \$3.011m  3,345  Flat levy  \$900	Retail OTC derivatives issuers	\$10.559m	98	Number of days authorised	\$113,407
Licensees that provide personal advice to retail clients on relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide general advice only  Licensees that provide general advice only  Licensees that provide personal advice to wholesale clients only  Insurance sector  Insurance product providers  \$24.595m  \$3,345  Adjusted number of advisers on the financial advisers method financial products financial advisers method financial advisers method financial advisers method financial products fina	Wholesale electricity dealers	\$0.087m	40	Flat levy	\$2,168
clients on relevant financial products  Licensees that provide personal advice to retail clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide general advice only  Licensees that provide personal advice to wholesale clients only  Insurance product providers  \$25.759m  2,933  register and number of days authorised  Number of days authorised  \$318  Solvent Seed Seed Seed Seed Seed Seed Seed See	Financial advice sector				
Clients on products that are not relevant financial products  Licensees that provide general advice only  Licensees that provide personal advice to wholesale clients only  Insurance product providers  \$24.595m  94  Gross premium and net policy revenue  Salta  S		\$25.759m	2,933	•	Minimum levy of \$1,500 plus \$1,142 per adviser
Licensees that provide personal advice to wholesale clients only  Insurance sector  Insurance product providers  \$24.595m  94  Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of rabove the \$5 million threshold  Insurance product distributors  \$3.011m  3,345  Flat levy  \$900	clients on products that are not relevant financial	\$0.190m	612	Number of days authorised	\$318
wholesale clients only  Insurance sector  Insurance product providers  \$24.595m  94  Gross premium and net policy revenue  Minimum levy of \$20,000 plus \$4.98 per \$10,000 of rabove the \$5 million threshold  Insurance product distributors  \$3.011m  3,345  Flat levy  \$900	Licensees that provide general advice only	\$0.603m	1,031	Flat levy	\$584
Insurance product providers \$24.595m 94 Gross premium and net policy revenue Minimum levy of \$20,000 plus \$4.98 per \$10,000 of rabove the \$5 million threshold Insurance product distributors \$3.011m 3,345 Flat levy \$900		\$0.085m	1,707	Flat levy	\$50
Insurance product providers  \$24.595ff 94 Gross premium and net policy revenue above the \$5 million threshold  Insurance product distributors  \$3.011m 3,345 Flat levy \$900	Insurance sector				
	Insurance product providers	\$24.595m	94	Gross premium and net policy revenue	Minimum levy of \$20,000 plus \$4.98 per \$10,000 of revenue above the \$5 million threshold
Pick management product providers \$0.110m 60 Number of days guitherized	Insurance product distributors	\$3.011m	3,345	Flat levy	\$900
Trian management product providers   \$1,912	Risk management product providers	\$0.119m	69	Number of days authorised	\$1,912

Levy amounts have been rounded.
 Note: To calculate the levy amounts, we have used the FYE number of entities in the subsector, to reflect the pro rata of the levy.