



TRIPPLICATE COPY

(Statutory Rules and Territory Ordinances)

Administering Department: please include this copy in all documents sent to Federal Executive Council and Ex. Co. Secretariat in connection with making of this legislation.

Ex. Co. Secretariat: please complete this copy by insertion of signatures and date of making, and send to: Legislative Services Section.

Commercial & Drafting Division, Attorney-General's Department.

80 |

Statutory Rules 1987 No. 1

## Securities Industry (Fees) Regulations<sup>2</sup> (Amendment)

I, THE GOVERNOR-GENERAL of the Commonwealth of Australia, acting with the advice of the Federal Executive Council and in accordance with subsection 5 (2) of the *Securities Industry (Fees) Act 1980*, hereby make the following Regulations under that Act.

Dated 21 May 1987.

N. M. STEPHEN

Governor-General

By His Excellency's Command,

Lionel Bowen  
Attorney-General

### Commencement

1. These Regulations shall come into operation on 1 July 1987.

### Interpretation

2. Regulation 2 of the Securities Industry (Fees) Regulations is repealed and the following regulation substituted:

“2. In the Schedule, a reference to a section or subsection, without an enactment being cited, shall be taken as a reference to that section or subsection of the *Securities Industry Act 1980*.”

**Schedule**

3. The Schedule to the Securities Industry (Fees) Regulations is repealed and the following Schedule substituted:

SCHEDULE PRESCRIBED FEES		Regulation 3
Column 1 Item	Column 2 Matter	Column 3 Fee
1	On making an application under section 38 for approval of a body corporate as a stock exchange . . . . .	\$ 720
2	On giving notice under section 39 of an amendment or amendments to the business rules or listing rules of a stock exchange . . . . .	70
3	On making an application under section 47 by a person other than a body corporate for a dealers licence or an investment advisers licence . . . . .	70
4	On making an application under section 47 by a body corporate for a dealers licence or an investment advisers licence . . . . .	150
5	On making an application under section 47 for a representatives licence . . . . .	30
6	On making an application under section 50 by a dealer's representative or an investment representative . . . . .	8
7	For inspecting Register of Licence Holders under subsection 54 (4) . . . . .	4
8	On giving notice under section 55 of change of particulars . . . . .	8
9	On lodging a statement under section 56 by a dealer or investment adviser (other than a body corporate) . . . . .	36
10	On lodging a statement under section 56 by a body corporate . . . . .	70
11	On lodging a statement under section 56 by a dealer's representative or an investment representative . . . . .	14
12	On lodging notice under subsection 75 (12) or giving notice under subsection 90 (2) or (3) . . . . .	14
13	On lodging notice under subsection 76 (7) of resignation or removal of an auditor . . . . .	8
14	On lodging a profit and loss account and balance sheet under subsection 78 (2) . . . . .	14
15	On lodging any other document with the Commission . . . . .	14

**NOTES**

1. Notified in the *Commonwealth of Australia Gazette* on 1987.
2. Statutory Rules 1981 No. 128 as amended by 1983 No. 186; 1984 No. 242; 1986 No. 147.

27 May/