



Licensing Fees

1. Licence or registration application fees

Type of application	Type of regulated activity ("RA")	Application fee
Licensed corporation	Types 1, 2, 4, 5, 6, 7, 8, 9, 10	\$4,740 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
	Type 3	\$129,730
Temporary licensed corporation	Types 1, 2, 4, 5, 6, 10	\$4,900 per RA
Registered institution	Types 1, 2, 4, 5, 6, 7, 9, 10	\$23,500 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
Licensed representative	Types 1, 2, 4, 5, 6, 7, 8, 9, 10	\$1,790 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
	Type 3	\$2,420
Provisional licensed representative	Not applicable	\$800 per application The fee is payable on top of the application fee for a normal representative licence
Temporary licensed representative	Types 1, 2, 4, 5, 6, 10	\$1,850 per RA
Approval to become responsible officer	Types 1 through 10	\$2,950 The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA



2. Annual fees

Types of intermediary	Types of regulated activity ("RA")	Annual fee
Licensed corporation	Types 1, 2, 4, 5, 6, 7, 8, 9, 10	\$4,740 per RA The annual fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
	Type 3	\$129,730
Licensed representative (non- responsible officer)	Types 1, 2, 4, 5, 6, 7, 8, 9, 10	\$1,790 per RA The annual fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
	Type 3	\$2,420
Licensed responsible officer	Types 1, 2, 4, 5, 6, 7, 8, 9, 10	\$4,740 per RA The annual fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
	Type 3	\$5,370
Registered institution	Types 1, 2, 4, 5, 6, 7, 9, 10	\$35,000 per RA The annual fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA



3. Application fees for variation of regulated activity and change of role

Licensed corporations

Types of application	Application fee
Addition of RA other than Type 3	\$4,740 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
Addition of Type 3 RA	\$129,730
Reduction of RA (except for the last RA)	\$200 per RA For each affected representative: \$200 (for a new licence certificate)

Licensed representatives

Types of application	Application fee
Addition of RA other than Type 3	\$1,790 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
Addition of Type 3 RA	\$2,420
Reduction of RA (except for last RA)	\$200 per RA
Approval of additional accreditation	\$200 (regardless of number of new principals proposed)
Reduction of principal	\$200 (for grant of a new licence)
Transfer of accreditation	\$200 per RA
Approval as responsible officer	\$2,950 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
Step down from the role of responsible officer to representative	\$200 (for a licence certificate)



Registered institutions

Types of application	Application fee
Addition of RA	\$23,500 per RA The application fee for Type 7 is waived if the carrying on of which is incidental to the carrying on of Type 1 and/or Type 2 RA
Reduction of RA (except for the last RA)	\$200 per RA



4. Miscellaneous applications

For licensed corporations

Types of application	Application fee
Modification or wavier of licensing condition	\$2,000
Modification or wavier of "fit and proper" requirements under section 129 of the Securities and Futures Ordinance	\$4,000
Issuance of duplicate licence certificate	\$200
Change of financial year end	\$2,000
Adoption of period exceeding 12 months as a financial year	\$2,000
Application for both "change of financial year end" and "adoption of period exceeding 12 months as a financial year" at the same time	\$2,000
Extension of deadline for submission of audited accounts	\$2,000
Approval of premises for record keeping purpose	\$1,000 (regardless of number of premises proposed)
Approval as a substantial shareholder	\$3,000 (regardless of number of substantial shareholders proposed and number of licensed corporations concerned)
Substantial change in particulars which necessitate the grant of a new licence certificate (e.g. change in name)	\$200

For licensed representatives

Types of application	Application fee
Modification or wavier of licensing condition	\$2,000
Modification or wavier of "fit and proper" requirements under section 129 of the Securities and Futures Ordinance	\$4,000
Issuance of duplicate licence certificate	\$200
Substantial change in particulars which necessitate the grant of a new licence certificate (e.g. change in name)	\$200



For registered institutions

Types of application	Application fee
Modification or wavier of registration condition	\$2,000
Modification or wavier of "fit and proper" requirements under section 129 of the Securities and Futures Ordinance	\$4,000
Issuance of duplicate certificate of registration	\$200
Substantial change in particulars which necessitate the grant of a new certificate of registration (e.g. change in name)	\$200