

SECOND SCHEDULE

SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 [Regulations 6, 10, 26(1), 59(g), 71(3), 72(1)]

FEES

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| 1. (a) Application fees payable by the applicant : | Rupees Twenty- Five Thousand |
| (b) Provisional registration fees payable by existing collective investment scheme: [see para 2 below] | Rupees Five Lacs |
| (c) Registration fees payable by the applicant for grant of registration as collective investment management company : | Rupees Ten Lacs |
| (d) Filing fees for offer document : | Rupees Twenty-Five thousand |

2. The applicant who has paid provisional registration fee of Rs. 5 lacs under sub-paragraph (b) of paragraph 1, shall pay remaining registration fee of Rs. 5 lacs at the time of grant of registration.

²⁴⁷[3. The fees referred to in paragraphs 1 and 2 above, shall be paid by way of direct credit into the bank account through NEFT/RTGS/IMPS or online payment using the SEBI Payment Gateway or any other mode as may be specified by the Board from time to time.]

THIRD SCHEDULE

SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 [Regulations 14(h), 21(8), 59(f)]

CODE OF CONDUCT

1. Interests of all classes of unit holders to be protected

247 Substituted by the Securities and Exchange Board of India (Payment of Fees and Mode of Payment) (Amendment) Regulations, 2023 w.e.f 01.04.2023. Prior to its substitution, clause 3 read as under-

“3. The fees referred to in paragraphs 1 and 2 above, shall be paid *[by way of direct credit in the bank account through NEFT/RTGS/IMPS or any other mode allowed by RBI or] by means of a bank draft in favour of “Securities and Exchange Board of India” at Mumbai or at the regional offices where the application for registration or draft offer document is submitted.”

*[Inserted by the SEBI (Payment of Fees and Mode of Payment) (Amendment) Regulations, 2017, w.e.f. 6-3-2017.]