#### **Unofficial Translation**

Appendix to the FRC Regulation No 33 dated 21 August 2006

Regulation on Setting Regulatory Services Fees To Be Collected from Licensees

- 1.1 The purpose of this Regulation is to regulate matters related to collection of regulatory service fees from licensed financial market participants into designated account of Financial Regulatory Commission (hereinafter FRC).
- 1.2 In setting the level of regulatory services fee in compliance with Article 6.1.5 of the "Law on Legal Status of the FRC" and Article 5.3 of the Charter of FRC the following factors shall be considered, namely ensuring financial stability; types of services rendered by FRC; scope of activities of institutions; and protection of customers interests.
- 1.3 Regulatory services fees from licensees shall be paid by non-banking financial institutions, professional participants of securities market, listed companies, insurers and professional insurance participants, savings and credit cooperatives, currency exchange units and individuals within 1 March of the next year in the FRC account 1700041422 at Savings Bank.
- 1.4 Licensees shall calculate the amount of service fees to be secured in the aforementioned FRC account as stated in Annex 1 for type of regulatory services and fee level of non-banking financial institutions; Annex 2 A and B for type of regulatory services and fee level of insurers and professional insurance participants; Annex 3 for type of regulatory services and fee level for securities market professional participants and listed companies; Annex 4 for services fee level for savings and credit cooperatives; and Annex 5 for services fee level for Currency exchange units respectively.
- 1.5 In case licensees fail to secure regulatory services fee within the designated date, then the FRC shall charge 0.5% fine for every overdue day.

#### 1. Regulatory services fees to be collected from licensees.

		Cor financial convisoo Regulatory Services Fee /within 1 March next			
		For financial services			
No	Type of non-banking financial activity	engagement	Annually, Assets as	One time installment	
		engagement	Percentage from Capital		
1.1	Lending		0.10%*		
1.2	Factoring		0.20%*		
1.3	Issuing guarantee		0.20%*		
1.4	Foreign currency exchange		0.05%*		
1.4	Investment and finance consulting, information		0.15%*		
1.5	services		*to be calculated as assigned		
	Services				
		Se			
		giver giver	given in Table 1.		
10			0.000/*		
1.6	Issuing payment instruments	-	0.20%*		
1.7	Electronic payment and remittance		0.30%*		
1.8	Investments into short-term financial instruments		0.01%*		
	Trust services		0 = 00//t		
1.9			0.50%*		
			*to be calculated as assigned		
			in classification of assets		
			given in Table 1.		
2.1	Permission to establish a branch			200 000	
2.1.1	In city			20 000	
2.1.1	In rural areas	Lt.		50 000	
2.1.2	To establish a representative office	Ē		2 000 000	
2.2	To change the assigned name	Permit		To decide in each instance	
2.3	To give other rights and permissions provided in the	ш		by the FRC Resolution	
2.4	law			by the FRC Resolution	
3.1	Re-issue lost and damaged license	<b>L</b>		200 000	
3.2	Other services provided in the law	Other		To decide in each instance	
		ð		by the FRC Resolution	
3.3	To get information from FRC archives about their			3 000 per page	
	own files, such as charter etc.				

Professional Insurance Participantsservices engagementAnnually, as percentage from statutory fundAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as percentage from guaranteed fundsAnnually, as annually, as percentage from guaranteed fundsAnnually, as annually, as percentage from guaranteed fundsAnnually, as annually, as percentage from guaranteed fundsAnnually, as annually, as percentage from guaranteed fundsAnnually, as annually, as annuall	No	Type of Regulatory Services for Insurers and	For financial	Regu		ee /within 1 March	n next year/
Image: construction in the second s		Professional Insurance Participants				Annually,	
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1.1.3.3       Civil/for citizens       0.025%         1.1.3.4       Construction       0.15%         1.1.3.5       Housing liability       0.025%         1.1.3.6       Public liability       0.15%         1.1.3.7       Institutional liability       0.025%							
1.1.3.4       Construction       0.15%         1.1.3.5       Housing liability       0.025%         1.1.3.6       Public liability       0.15%         1.1.3.7       Institutional liability       0.025%							
1.1.3.5       Housing liability       0.025%         1.1.3.6       Public liability       0.15%         1.1.3.7       Institutional liability       0.025%							
1.1.3.6Public liability0.15%1.1.3.7Institutional liability0.025%							
1.1.3.7 Institutional liability 0.025%							
LENO LUWDERS OF DOSSESSOFS I/ADIIIV	1.1.3.7	Owner's or possessor's liability		0.10%			

200 000
20 000
100 000
2 000 000
-

2.4	Other permits as provided in laws /getting permit for additional types of ordinary insurance			To decide in each instance by the FRC Resolution
3.1 3.2 3.3	To get information from FRC archives about their own files. Re-issue lost and damaged license Other services provided in the law	Others		3000 /per page/ 200 000 To decide in each instance by the FRC Resolution

		For financial	Regulator	y Services Fee /within 1 I	March next year/
	Professional Participants in Securities Market	services engagement	Annually, As percentage from trading volume	Annually in MNT	One time installment
1.1 1.2 1.3 1.4 1.5 1.6 1.7 1.8	Exchange trading activities Broker dealer activities Securities clearing and settlement Securities depositary Mutual investment institutions and mutual funds Underwriting activities Investment management activities Investment advisory and consultancy activities	License		6 000 000 1 000 000 2 500 000 2 500 000 1 000 000	To decide in each instance by the FRC Resolution To decide in each instance by the FRC Resolution
2.1 2.1.1 2.1.2 2.2 2.3 2.4 2.5 2.6 2.7 2.8 2.9 2.10	Permission to establish a branch In urban areas In rural areas To change assigned name To issue new securities To issue additional securities To issue bonds To announce tender proposal To reorganize the company (become JSC, merge, consolidate, divide, separate) To carry securities activities exclusively To give permit to professionals to work in securities market Other permits provided in the law	Permit			200 000 20 000 2 000 000 50 000 200 000 200 000 200 000 200 000 200 000 200 000 50 000 To decide in each instance by the FRC
3.1 3.2 3.3 3.4	Re-issue lost and damaged licenseJSC (monitoring, inspection, dividend distributionsupervision)Other services provided in the lawTo get information from FRC archives about theirown files.		2% of face value of securities issued /table 2/		Resolution 200 000 To decide in each instance by the FRC Resolution 3000 /per page/

		For financial services	Regulatory Services Fee	/within 1 March next year/
No	Type of SCC services	engagement	Annually, Assets as	One time installment
		5	Percentage from Capital	
1.1	Savings and credit activities	License	0.05% (minimum level 15 000MNT)	
2.1	To change assigned name	Permit		2,000,000
2.2	Other services provided in the law			To decide in each instance by the FRC Resolution
3.1	Re-issue lost and damaged license			200 000
3.2	Other services provided in the law	Other		To decide in each instance
		Other		by the FRC Resolution
3.3	To get information from FRC archives about their			3 000 per page
	own files, such as charter etc.			

		For financial services	Regulatory Services Fee	/within 1 March next year/
No	Type of Currency exchange unit	engagement	Annually, Assets as	One time installment
-		engagement	Percentage from Capital	
1.1	To carry out activities	License	0.05% (minimum level 15 000MNT)	
2.1	To establish a branch	Permit		
2.1.1	In urban areas			200,000
2.1.2	In rural areas			20,000
2.2	To change assigned name			2,000,000
2.3	Other services provided in the law			To decide in each instance
				by the FRC Resolution
3.1	Re-issue lost and damaged license			200 000
3.2	Other services provided in the law			To decide in each instance
0.2		Other		by the FRC Resolution
3.3	To get information from FRC archives about their			3 000 per page
	own files, such as charter etc.			

# Table 1

l -	NBFI name			
- )	Total ass	ets, /31.12.2005/		
	0,10%	lending		
	0,20%	factoring		
	0,10%	leasing		
	0,20%	guarantee		
	0,20%	Payment instrumetns		
	0,30%	Money remittance		
	0,05%	Currency exchange		
	0,50%	trusts		
	0,01%			
	0,15%	consultancy		
	200,0%	>10,0		
	150,0%	10,0-25,0		
	100,0%	25,0-50,0		
	50,0%	50,0-100,0		
	200,0%	100,0-500,0		
	150,0%	500,0-1,000,0		
	100,0%	1,000,0>		
		culated from Total /pe of activity		

Table 2

					No	
					Code	
				name	Company	
		/number/	issued	securities	Total	
		issued	securities	of total	Face value	
issued	securities	total	value of	the face	0.035% of	

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