

ANNEXURE B – Fees and charges to Issuers

Sr. No.	Service Offered	Charges/fees (amount) Rupees	
1	Joining Fee for companies		
	For an issuer of listed securities	₹ 20,000/-	
	For an issuer of unlisted securities	₹15,000/-	
2	Distribution of non-cash corporate benefits:		
	Corporate Actions - For debit or credit to accounts	₹ 10 /- per record, subject to minimum ₹ 1,000/- per corporate action	
	Issue of commercial paper and short term debt Instruments	₹10,000/- for five issues. Additional fee of ₹10,000/- for every additional five issues	
	Debit or credit to accounts for Mutual Funds Units (TRASE)	₹ 10/- per record subject to a minimum corporate action fee on a per file basis at ₹ 500/- per corporate action file / auto corporate action instructions	
3	One time Custody Fee (Not applicable w.e.f November 1, 2011)	<p>0.05% plus service tax on market capitalization</p> <p>If an Issuer has opted to pay the aforesaid one time custody fee till October 31, 2011, it will also be required to agree to pay on the newly issued shares, a onetime custody fee at the rate of 0.05% (five basis points) on the value of shares calculated on the basis of issue price of newly issued shares. The Issuer shall not be required to pay any one time custody fee on any subsequent issue of bonus shares by the company.</p>	
4	Annual Custody Fee (Not applicable for Government Securities)	₹ 11 per folio subject to minimum amount as below:	
		Nominal value of admitted securities	Amount (in ₹)
		Upto ₹ 2.5 crore (applicable only for issuer of unlisted shares)	5,000/-
		Upto ₹ 5 crore	9,000/-
		Above ₹ 5 crore and upto ₹ 10 crore	22,500/-
		Above ₹ 10 crore and upto ₹ 20 crore	45,000/-
		Above ₹ 20 crore	75,000/-

		The fee will be based on average number of folios (ISIN positions except temporary ISINs) during the previous financial year. Average number of folios (ISIN positions) will be arrived at by dividing the total number of folios (ISIN positions) for the entire previous financial year by the total number of working days in the said previous financial year.	
		In case the issued capital or ISIN positions increase during the financial year due to issue of further securities, the custody fee would be charged on a pro-rata basis, at the time of such issue.	
5	Non-extinguishment of debt securities	₹ 100/- per ISIN per day	
6	Data Service for IPO, FPO, Right Issues, Buy-back, etc.	₹ 2.50/- per record subject to a minimum fee as given below:	
		Issue Size (In ₹)	Amount (in ₹)
		Upto 10 crore	10,000/-
		Above 10 crore and upto 100 crore	25,000/-
		Above 100 crore and upto 1000 crore	50,000/-
		Above 1000 crore	1,00,000/-
		<i>Minimum fees for SME issues</i>	
		<i>Issue Size</i>	<i>Amount (₹)</i>
		Upto ₹10 crore	5,000
		Above ₹10 crore and upto ₹ 25 crore	10,000
		<i>Minimum fees for Debt Public Issues</i>	
		<i>Issue Size</i>	<i>Amount (₹)</i>
		Upto ₹100 crore	15,000
		Above ₹100 crore and upto ₹1000 crore	25,000
		Above ₹1000 crore	50,000
7	BENPOS download (Periodic BENPOS free on every Friday, Quarter end and statutory)	Upto 10,000/- records - ₹ 7,500/- per BENPOS Above 10,000/- records- ₹ 15,000/- per BENPOS	
8	Change of RTA	Nominal value of securities admitted in NSDL	Amount (in ₹)
		Upto 5 crore	10,000/-
		Above 5 crore and upto 10 crore	15,000/-
		Above 10 crore and upto 20 crore	20,000/-

		Above 20 crore	25,000/-
9	Conversion of LOA to long term debentures	₹ 2,000/- per ISIN	
10	Change in face value of ISIN	₹2,000 per ISIN request	
11	Special processing charges for online corporate actions	1. For securities other than Mutual Fund Units (Exchange Traded Fund and Closed Ended Fund): ₹ 10,000/- per corporate action 2. For Mutual Fund Units (Exchange Traded Fund and Closed Ended Fund): ₹ 10/- per record subject to Minimum of ₹ 2,500/- per corporate action and Maximum of ₹ 20,000/- per corporate action	
12	Corporate Action (Buy Back)		
	Open market buy back (one time)	₹ 2,000/-	
	Each Tender offer buyback	₹ 1,000/-	
13	Rectification of error by Issuer/ R & T agent	0.01 % on transaction value subject to a minimum of ₹ 1,500/- and maximum of ₹ 15,000.	
14	Tender Offers	₹ 1,00,000/-	
15	Reactivation of a ISIN or Corporate Action fee to effect transfer in a suspended ISIN of a private limited company.	0.01% of the face value or book value or transaction value whichever is higher subject to a minimum fee of ₹10,000 per such request.	
16	Data validating and sharing of information in respect to investment by Foreign Portfolio Investors through primary market issuances	Issue Size (In ₹)	Amount (in ₹)
		Upto 10 crore	7,500/-
		Above 10 crore and upto 100 crore	18,750/-
		Above 100 crore and upto 1000 crore	37,500/-
		Above 1000 crore	50,000/-
17	Daily Benpos Downloads and transfer feeds to AMCs (TRASE)	Asset Under Management (₹)	Amount (in ₹)
		Upto 10,000 crore	5 Lakhs per annum
		Above 10,000 crore and upto 50,000 crore	7.5 Lakhs per annum
		Above 50,000 crore	10 Lakhs per annum

18	CAS	Physical - ₹ 2/- per MF Folio Email - ₹ 0.30/- per MF Folio		
19	Document Processing Fee	<p>₹ 20,000/- for listed/ to be listed Companies for processing documents in respect of issue/ alteration/ cancellation of shares. In case of issue of shares pursuant to employee share benefit schemes ₹ 5,000/- subject to maximum of ₹20,000/- for financial year.</p> <p>₹250/- for processing document in respect of issue/cancellation/alteration/redemption for securities other than mentioned above (except mutual fund units and Government securities).</p> <p>₹15,000 for unlisted companies for processing documents in respect of withdrawal from depository.</p>		
20	Appointment as a Designated Depository to facilitate listed company to monitor foreign investment limits	Companies in Nifty 500 or S&P BSE 500 index as on March 31st of previous financial year	₹ 25,000/- per annum	
		For all other companies	₹ 10,000/- per annum	
21	Data Service for name verification for corporate actions.	₹2.50 per record subject to a minimum fee of ₹ 2,000/- per corporate action		
22	SMS notification fee for every e-Voting event for sending SMS to Clients. Provided that in case of Issuer request to re-send SMS for any particular event, then only Transaction fee as per aforesaid structure will be levied and no setup Fee will be levied again	Paid Up capital (₹)	Setup Fee (₹) per event	Transaction Fee (₹)
		Up to 5 crore	1000	0.45 per record
		Above 5 crore to 10 crore	2500	
		Above 10 crore	5000	