



LEGAL NOTICE NO. 35

REPUBLIC OF TRINIDAD AND TOBAGO

THE SECURITIES INDUSTRY ACT, 1995
BY- LAWS

MADE BY THE MINISTER UNDER SECTION 131 (1) OF THE
SECURITIES INDUSTRY ACT

THE SECURITIES INDUSTRY (AMENDMENT) BY- LAWS, 2006

- | | | |
|----|--|---|
| 1. | These By- laws may be cited as the Securities Industry (Amendment) By- laws, 2006. | Citation |
| 2. | Schedule 1 to the Securities Industry By-laws, 1997 is repealed and the following Schedule is substituted: | Amendment of Schedule 1 L.N. 225 of 2000 |

SCHEDULE 1

1. Registration Fees

By-laws 3

FEES

| (a) Broker | Initial and renewal | \$5,000.00 |
|--|---------------------|--|
| (b) Investment Advisor - corporation | do. | \$10,000.00 |
| (c) Investment Advisor- individual | do. | \$7,500.00 |
| (d) Dealer in securities | do. | \$5,000.00 |
| (e) Trader in securities | do. | \$5,000.00 |
| (f) Underwriter of securities | do. | \$10,000.00 |
| (g) Securities companies | do. | \$10,000.00 |
| (h) Reporting issuer | do. | \$5,000.00 |
| (i) Trinidad and Tobago Stock Exchange | do. | 0.02% of the aggregate dollar value of transactions occurring on the Exchange in the immediate previous financial year |
| (j) Trinidad and Tobago Central Depository | do. | \$30,000.00 |



Trinidad and Tobago Securities and Exchange Commission

THE SECURITIES INDUSTRY (AMENDMENT) BY- LAWS, 2006

2. Filing Fees

| | | |
|--|----------------|-------------|
| (a) Filing of Prospectus (bonds, derivatives, equities, collective Investment schemes) | Prospectus fee | \$10,000.00 |
| (b) Filing of an Information Memorandum | | \$7,500.00 |
| (c) Filing of takeover bid | | \$15,000.00 |
| (d) Delisting of a security | | \$1,000.00 |
| (e) Filing of a Registration Statement | | \$100.00 |

3. Market Access Fees

| | | |
|--|-------------|---|
| (a) Issues of bonds, derivatives, Equities, closed-end collective Investment schemes | Initial fee | 0.01% of the value of the issue |
| (b) Issues of open-end collective Investment schemes | Annual fee | 0.01% of the value of funds raised in previous year (based on Audited accounts) |

4. Other Fees

| | | |
|---|-----|-----------------|
| (a) For every extract of a page of the Register, maintained under section 53 (4) of the Act Of persons registered with the Commission | ... | \$2.50 per page |
| (b) Inspection of registration statements and information filed therewith | ... | \$2.50 per page |

Dated this 31st day of January, 2006

P.MANNING
Minister of Finance

Laid in the House of Representatives this day of , 2006.

Clerk of the House

Laid in the Senate this day of , 2006.

Clerk of the Senate