



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 | Schedule 1 to the Securities Industry By-laws, 1997 is repealed and the following Schedule is substituted: | Amendment of Schedule 1<br>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 31<sup>st</sup> 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