

TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

FEE SCHEDULE AS PER SECURITIES (GENERAL) BY-LAWS, 2015

<i>Registration and Renewal Fees for Registrants</i>		
	Initial	Renewal
Reporting Issuer	\$8,000	\$8,000
Broker Dealer	\$25,000	\$25,000
Broker-Dealer also conducting business as an Underwriter	\$30,000	\$30,000
Underwriter	\$20,000	\$20,000
Investment Adviser - Corporation	\$15,000	\$15,000
Investment Adviser - Individual	\$10,000	\$10,000
Registered Representative – per individual	\$2,000	\$2,000
Sponsored Broker-Dealer or Investment Adviser	\$5,000	n/a
Substantial shareholder – per shareholder	\$1,000	n/a
Branch Office – per office	\$3,000	\$3,000

<i>Registration and Renewal Fees for Self-Regulatory Organizations</i>		
	Initial	Renewal
Self-Regulatory Organization	\$50,000	the higher of \$30,000 or 0.02% of the profits of the Self-Regulatory Organization in the prior financial year
Self-Regulatory Organization – Stock Exchange	\$50,000	0.02% of value of transactions in each year based on audited financial statements

<i>Registration Fees for Securities</i>	
Filing of a Distribution Statement	\$1,000
Market Access Fees for Securities (including close end CISs)	0.01% of the value of the funds raised subject to a minimum of \$1,000
Market Access Fees for open end CISs	0.01% of the value of funds raised in previous year (based on Audited accounts)

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<i>Filing Fees</i>	
Filing of Prospectus	\$17,500
Filing of Information Memorandum	\$10,000
Filing of takeover bid-circular or Issuer Bid Circular	\$15,000
Filing of a Notice of Change or Notice of Variation under the Take-Over By-laws	\$1,000
<i>Other Fees</i>	
Inspection of and Extracts of Register	Nominal fee of \$100 per visit plus \$3.00 p/page copied
Application for de-listing a security from a SRO that is a Securities Exchange	\$1,000
Application for de-registration as a Reporting Issuer	\$1,000

<i>Inspection and Examination Fees</i>	
Compliance review	No Fee at this time
Examinations of Market Actors	No Fee at this time
Costs associated with an investigation	No Fee at this time