

LEGAL NOTICE NO. 225

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, 2000

1. These By-laws may be cited as the Securities Industry Citation
(Amendment) By-laws, 2000.

2. Schedule 1 to the Securities Industry By-laws, 1997 is repealed Amendment
and the following Schedule is substituted: of Schedule 1
L.N. 102 of
1997

“SCHEDULE 1

(By-law 3)

FEEES

1. **Registration Fees**

(a) Broker	...	Initial and Renewal	\$5,000.00
(b) Investment Adviser	\$7,500.00
(c) Dealer in securities	\$5,000.00
(d) Trader in securities	\$5,000.00
(e) Underwriter of securities	\$10,000.00
(f) Securities companies	\$10,000.00
(g) Reporting Issuer	\$5,000.00
(h) Self-regulatory Organisations02% of the aggregate dollar value of t r a n s a c t i o n s occurring on the Exchange in each year

2. **Filing Fees**

(a) Filing of Prospectus	0.1% of the issue value of the securities covered by the prospectus, sub- ject to a minimum of \$5,000.00 and a maximum of \$35,000.00
(b) Filing of Registration Statement	\$1,000.00

(c) Amendment to the Registration Statement	\$500.00
(d) De-listing of a security	\$1,000.00
3. 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
4. Inspection of registration statements and information filed therewith.	\$2.50 per page.”.

Dated this 7th day of September, 2000.

B. KUEI TUNG
*Minister of Finance,
 Planning and Development*

Laid before the House of Representatives this day of , 2000.

Clerk of the House

Laid before the Senate this day of , 2000.

Clerk of the Senate