

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 Citation
(Amendment) By-laws, 2006.

2. Schedule 1 to the Securities Industry By-laws, 1997 is repealed Amendment
and the following Schedule is substituted: of Schedule 1
L.N. 225 of
2000

“SCHEDULE 1

1. Registration Fees By-laws 3

FEEES

(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

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	\$100.000

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