

LEGAL NOTICE No. 47

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 Schedule 1 to the Securities Industry By-laws, 1997 is repealed and the following Schedule is substituted:

Amendment
of Schedule 1
L.N. 225 of
2000

“SCHEDULE 1

1. Registration Fees	FEES	By-Laws 3
(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 10th day of February, 2006.

J. SAMPSON
Clerk of the House

Laid in the Senate this 14th day of February, 2006.

N. JAGGASSAR
Clerk of the Senate