

SECURITIES COMMISSION OF THE BAHAMAS

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REGISTRATION FEES (Sixth Schedule of the Securities Industry Regulations, 2000)

		1	2
FIRMS		2005	Annual
Broker - Dealer Class I	Application	2500	
	Registration	5000	
	Annual	7500	7500
	Total	15000	7500
Broker - Dealer Class II	Application	1500	
	Registration	2000	
	Annual	3500	3500
	Total	7000	3500
Securities Investment Advisor	Application	500	
	Registration	500	
	Annual	1000	1000
	Total	2000	1000
INDIVIDUALS			
Broker, Principal, Advisor	Application	100	
	Registration	250	
	Annual	250	250
	Total	600	250
Associated Person	Application	50	
	Registration	100	
	Annual	100	100
	Total	250	100

Only application fees are to accompany applications. Upon approval, registrants will be billed for the registration fee (pro-rated) and the annual fee.

1. Annual fees are due by the end of January each year.
2. Companies entering the securities business during the year 2005 are to use rates in column 1.
3. Companies who were in securities business prior to 2005 will be assessed fees for the previous year(s).