



SECURITIES COMMISSION OF THE BAHAMAS

Securities Industry (Fee) Rules, 2020

Schedule of (pro-rated) annual fees for CEOs, compliance officers and registered representatives

| Month of Approval | CEO | Compliance Officer | Representative, Trading/CFD Trading | Representative, Discretionary Management | Representative, Advising | CFD Supervisory Officer |
|-------------------|--------|--------------------|-------------------------------------|------------------------------------------|--------------------------|-------------------------|
| January | 625.00 | 625.00 | 575.00 | 575.00 | 575.00 | 5,000.00 |
| February | 572.92 | 572.92 | 527.08 | 527.08 | 527.08 | 4,583.33 |
| March | 520.83 | 520.83 | 479.17 | 479.17 | 479.17 | 4,166.67 |
| April | 468.75 | 468.75 | 431.25 | 431.25 | 431.25 | 3,750.00 |
| May | 416.67 | 416.67 | 383.33 | 383.33 | 383.33 | 3,333.33 |
| June | 364.58 | 364.58 | 335.42 | 335.42 | 335.42 | 2,916.67 |
| July | 312.50 | 312.50 | 287.50 | 287.50 | 287.50 | 2,500.00 |
| August | 260.42 | 260.42 | 239.58 | 239.58 | 239.58 | 2,083.33 |
| September | 208.33 | 208.33 | 191.67 | 191.67 | 191.67 | 1,666.67 |
| October | 156.25 | 156.25 | 143.75 | 143.75 | 143.75 | 1,250.00 |
| November | 104.17 | 104.17 | 95.83 | 95.83 | 95.83 | 833.33 |
| December | 52.08 | 52.08 | 47.92 | 47.92 | 47.92 | 416.67 |

1. Fees are denominated in B\$ (Bahamian Dollars).
2. This schedule is based on fees in effect at 30 June 2020 and is for information purposes only. This schedule does not supersede any duly prescribed fees.
3. These fees in this schedule are the annual fees due in the year an applicable application is approved, based on the month that the application is approved (absolute or on condition) and authorized to operate. Thereafter, the full annual fee is due.

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|--------------------------|--------|--------|--------|--------|--------|---------|
| Application Fees | 450.00 | 450.00 | 375.00 | 375.00 | 375.00 | 1000.00 |
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| Registration Fees | 625.00 | 625.00 | 575.00 | 575.00 | 575.00 | 3000.00 |