

**THIRD SCHEDULE**

**FEEES**

<b>TYPES OF FEES</b>	<b>AMOUNT (in EC\$)</b>	<b>EXPLANATION</b>
<i>1. Application Fee</i>		A one-time fee paid upon submission of application forms and accompanying documentation. The fee is non-refundable and allows for the costs of due diligence procedures undertaken by the Commission to thoroughly review the application.
(a) Broker-dealer	1,000	
(b) Custodian	1,000	
(c) Investment advisor (company)	1,000	
(d) Investment advisor (individual)	1,000	
(e) Limited service broker	750	
(f) Management Company	1,000	
(g) Principal	200	
(h) Representative	200	
<i>2. Licence Fee</i>		
(a) Broker-dealer	3,000	
(b) Custodian	4,000	
(c) Investment advisor (company)	3,000	
(d) Investment advisor (individual)	4,000	
(e) Limited service broker	2,000	
(f) Management Company	4,000	
(g) Principal	500	
(h) Representative	500	
<i>3. Annual Renewal Licence Fees</i>		
(a) Broker-dealer	2,000	
(b) Custodian	3,000	
(c) Investment advisor (company)	2,000	
(d) Investment advisor (individual)	2,500	
(e) Limited service broker	1,500	
(f) Management Company	3,000	
(g) Principal	500	
(h) Representative	500	
<i>4. Replacement of Licence Fee</i>	1,500	Applicable to all licences

<b>TYPES OF FEES</b>	<b>AMOUNT (in EC\$)</b>	<b>EXPLANATION</b>
<p>5. <i>Examination Fee</i></p> <p>(a) Investment adviser examination fee</p> <p>(b) Principal – compliance workshop/ examination fee</p> <p>(c) Representative examination fee</p>	<p>1,500</p> <p>2,000</p> <p>1,500</p>	Fee per person
<p>6. <i>Advertisement Filing Fee</i></p> <p>- Fee for filing of advertisements</p>	50	Fee per person
<p>7. <i>Authorisation of Collective Investment Scheme Fee</i></p> <p>(a) Authorisation of Collective Investment Scheme Application Fee</p> <p>(b) Authorisation of Collective Investment Scheme Fee</p> <p>(c) Annual Renewal Authorisation of Collective Investment Scheme Fee</p>	<p>1,000</p> <p>4,000</p> <p>3,000</p>	A one-time fee paid upon submission of application forms and accompanying documentation. The fee is non-refundable and allows for the costs of due diligence procedures undertaken by the Commission to thoroughly review the application.
<p>8. <i>Securities Exchange Licence Fee</i></p> <p>(a) Securities Exchange Licence Application Fee</p> <p>(b) Securities Exchange Licence Fee</p> <p>(c) Annual Renewal Securities Exchange Licence Fee</p>	<p>1,000</p> <p>5,000</p> <p>4,000</p>	A one-time fee paid upon submission of application forms and accompanying documentation. The fee is non-refundable and allows for the costs of due diligence procedures undertaken by the Commission to thoroughly review the application.



<p><i>(c) Annual Renewal Licence Fee</i></p> <p>(i) Broker-dealer association</p> <p>(ii) Depositories</p> <p>(iii) Exchanges</p> <p>(iv) Independent Share Registrars</p> <p>(v) Investment funds association</p>	<p>2,000</p> <p>4,000</p> <p>4,000</p> <p>4,000</p> <p>2,000</p>	
<p><i>12. Proposed Rule Change Fee</i></p>	<p>1,000</p>	<p>Fee per submission</p>

Made the                      day of                      2001

Minister

