



## Securities Fees

The following are the prescribed fees (both application fees and annual fees) in accordance with Schedule II of the Securities Industry Regulations, 2023, S.I. No. 139 of 2023.

No.	Registration Category	Application Fees BZ\$	Registration Fees BZ\$	Annual Renewal Fee BZ\$
1.	Marketplace	25,000	50,000	50,000
2.	Clearing Facility	10,000	25,000	25,000
3.	Self-Regulatory Organisation	5,000	15,000	15,000
4.	Ancillary Facility	5,000	15,000	15,000
<b>Company Registration</b>				
5.	Trading in Securities as Agent	3,000	30,000	30,000
6.	Trading in Securities as Principal	3,000	30,000	30,000
7.	Managing Securities	3,000	25,000	25,000
8.	Providing Investment Advice	3,000	15,000	15,000
9.	Arranging Transactions in Securities	3,000	10,000	10,000
10.	Providing Custodial Services with respect to Securities	1,000	3,000	3,000
11.	Providing Administration services with respect to Securities	1,000	3,000	3,000
Persons Seeking to Register for more than one category under 5 to 11 above.		6,000	Full fee for function with the highest fee and \$5,000 for each additional Category.	Full fee for function with the highest fee and \$5,000 for each additional Category.
<b>Fund Registration</b>				
12.	Recognition of Professional Fund	1,500	7,500	7,500
13.	Registration of Mutual Fund	1,500	10,000	10,000
<b>Individual Registration</b>				

14.	Appointment by a registrant of Chief Executive Officer	500	1,500	1,500
15.	Appointment by a registrant of a Compliance Officer	500	1,000	1,000
16.	Appointment of a body corporate to provide compliance function services for and on behalf of registrant.	2,000	4,000	4,000
17.	Securities Representative	500	1,000	1,000
18.	Recognition as an Approved Auditor (firm of accountants)	1,000	2,500	2,500
19.	Recognition as an Approved Auditor (individual account)	5,000	1,500	1,500

No.	Filing Category	Fee (BZ\$)
1.	Filing of Preliminary Prospectus	4000
2.	Filing of Final Prospectus	0.1% of issue value of \$50,000 of securities value minimum
3.	Filing Prospectus on an amended Final Prospectus	1,800
4.	Filing of Takeover Bid Document	01.% of value of bid
5.	Filing of Director's Circular	4,000
6.	Filing Statement of Management Proxy Statement	1,800
7.	Filing Statement of Interim Financial statement	No Fee (if filed within prescribed time)
8.	Filing Statement of Audited Financials Statement	No Fee (if filed within prescribed time)

No.	Service	Fees (BZ\$)
1.	Liquidation, surrender, or variation of a registration, condition or approval.	1,000
2.	Change of address of principal office of conducting business if different from registered office	300
3.	Change in directorship or senior management position other than Chief Executive Officer or Compliance Officer	1,000
4.	Cause, permit or acquiesce in a sale, transfer, charge, merger, amalgamation or consolidation, or other disposition of any significant interest, or part thereof of a registrant	1200
5.	Issue of allot any share or cause, permit or acquiesce in any other reorganisation of the share capital that results in – i. A person acquiring a significant interest in the registrant; or ii. A person who already owns or holds a significant interest in the registrant increasing or decreasing the size of his or her interest.	i. 1,200 ii. 1,200
6.	Letters of Good Standing	600
7.	Certified Copy of a registration (per certificate)	600
8.	Replacement of Certificates (per certificate)	600
9.	Name Change	500
10.	Filing of a notification of termination/registration/retirement of a registered individual (Form13)	500
11.	Submission of Financial and Operational Report (Form 14)	No fee (if filed within prescribed time)
12.	Change of appointment of an auditor	2000
13.	Change of corporate structure of registrant	500

14.	Approval to incorporate or operate a subsidiary, branch or representative office outside Belize	500
15.	Use of Agent	500
16.	Any service for which a fee is not prescribed	250
<b>Late Payment Fees</b>		
17.	Late Payment of Annual Renewal Fee	The late fee is equal to the relevant annual renewal fee for each month or part of a month during which the fee is unpaid up to six (6) months after the annual renewal date.
18.	Late Filing (submitted after due date) of any interim or audited financial statement.	1,000 for each month or part of a month until the relevant financial statement is submitted.
19.	Late Filing (submitted after due date) of Form 14 or any other regulatory filing.	1,000 for each month or part of a month until the relevant financial statement is submitted.