

**BC Form 11-901F Securities Regulation Fee Checklist**

The Executive Director specifies that effective June 9, 2023, Form 11-901F Securities Regulation Fee Checklist is changed by

- deleting instruction 1 that states that Form 11-901F must accompany all fee payments

so that the Form reads as attached in Appendix A.

June 2, 2023

Peter J. Brady  
Executive Director

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(This part is for the administrative purposes only and is not part of the Order)

**Authority under which Order is made:**

Act and sections: Securities Act, sections 182



**FOR COMMISSION USE ONLY**

File Number

**INSTRUCTIONS**

1. Cheques **must** be in Canadian funds made payable to the British Columbia Securities Commission.
2. NSF cheques will result in a \$20.00 charge and all subsequent fee payments will require a certified cheque or money order.
3. The number to the left of the text below is the respective ITEM number from section 22(1) of the Securities Regulation; R.B.C. Reg. 196/97 (the "Regulation"). Repealed items are not included. Reference should be made to the Regulation for the specific wording of each of the following items. All references to the "Act" are to the *Securities Act*, R.S.B.C. 1996, c. 418.
4. The fees set out in this fee checklist are effective December 30, 2018.

**INSTRUCTION: FOR EACH FEE PAYMENT, ENTER MULTIPLYING FACTOR(S) AND AMOUNT(S).**

		<i>Commission Use Only</i>
1	<p>(1) For seeking or maintaining registration as</p> <p>(a) a dealer; <span style="float: right;">\$2,500 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>(b) an adviser; or <span style="float: right;">\$1,500 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>(c) an investment fund manager <span style="float: right;">\$1,200 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>Registration fees are for a calendar year. Pay registration fees in advance. Only the highest applicable fee is payable if seeking or maintaining registration in multiple categories. If seeking registration in an additional category, pay the incremental fee, if any, of the additional category.</p>	<p>R1SD2</p> <p>R1SA2</p> <p>R1SU2</p>
1	<p>(2) For seeking or maintaining registration as a:</p> <p>(i) dealing representative; <span style="float: right;">\$350 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>(ii) advising representative; or <span style="float: right;">\$350 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>(iii) associate advising representative <span style="float: right;">\$350 x <input style="width: 50px;" type="text"/> = <input style="width: 50px;" type="text"/></span></p> <p>Registration fees are for a calendar year. Pay registration fees in advance. Only the highest applicable fee is payable if seeking or maintaining registration in multiple categories.</p>	<p>R1SD</p> <p>R1SA</p> <p>R1SU</p>
2 - 7	<i>Repealed</i>	

			<i>Commission Use Only</i>
8	For each day that the financial statements of a registered dealer, investment fund manager or adviser have not been filed as required under National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i> , unless the commission or executive director has exempted in writing the registered dealer, investment fund manager or adviser from the requirement to file financial statements.	\$100 x <input type="text"/> = <input type="text"/>	RFSLATE
9	(a) Subject to paragraphs (b) and (c), for filing a preliminary prospectus, a preliminary base shelf prospectus under National Instrument 44-102 <i>Shelf Distributions</i> , a preliminary base PREP prospectus under National Instrument 44-103 <i>Post Receipt Pricing</i> or a pro forma prospectus	\$2,500 x <input type="text"/> = <input type="text"/>	SPROS/1
	(b) For filing a preliminary or pro forma prospectus for a mutual fund	\$1,500 x <input type="text"/> = <input type="text"/>	SMFP
	(c) For filing a preliminary exchange offering prospectus	\$1,500 x <input type="text"/> = <input type="text"/>	SEOP
10	For filing a prospectus, the amount, if any, by which		
	(a) 0.025%, or	0.025% x <input type="text"/> = <input type="text"/>	SPROS+
	(b) in the case of a money market mutual fund, 0.01%	0.01% x <input type="text"/> = <input type="text"/>	SPROS+M
of the proceeds realized by the issuer or securityholder from the distribution under the prospectus to purchasers in British Columbia exceeds the aggregate of the fees paid under item 9, which amount must be paid in accordance with ss. 24 and 25.			
11	For filing an annual information form by an issuer other than a mutual fund	\$1,000 x <input type="text"/> = <input type="text"/>	SAIF
12	For filing an amendment to a preliminary prospectus, prospectus or annual information form	\$250 x <input type="text"/> = <input type="text"/>	SAMEND
13	For filing a technical or engineering report with		
	(a) a preliminary prospectus, pro forma prospectus, prospectus, annual information form, amendment to a preliminary prospectus or prospectus	\$500 x <input type="text"/> = <input type="text"/>	STECH
	(b) an application under s.171 of the <i>Act</i> for revocation or variation of a decision in respect to the reactivation of a dormant issuer	\$500 x <input type="text"/> = <input type="text"/>	STECHDD

14	For filing a notice by an issuer of its intention to offer securities under s. 2.1 of the National Instrument 45-106 <i>Prospectus and Registration Exemptions of the Act</i> , if the notice includes a rights offering memorandum or circular.	$\boxed{\$500} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	<i>Commission Use Only</i> S55/2/7
15	For filing an application, other than an application to revoke, revoke in part or vary an order made under s. 161 or 164 of the Act, with the commission or the executive director for a decision under the Act, this regulation, the Rules, another enactment or a policy statement, if no other fee for that filing is prescribed	$\boxed{\$4,500} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	SORDER
15.1	<p>(1) For filing any of the following applications, unless an application to which item 15 applies is also filed, in which case no fee is payable under this subsection:</p> <ul style="list-style-type: none"> <li>(a) an application to the commission or the executive director for a decision to revoke, revoke in part or vary an order made under s. 164 of the Act if the order has been in effect for less than 91 days;</li> <li>(b) an application for a decision under s. 88 of the Act;</li> <li>(c) an application for a decision under National Instrument 31-102 <i>National Registration Database</i>;</li> <li>(d) an application for a decision under National Instrument 33-109 <i>Registration Information</i>;</li> <li>(e) an application for a decision under s. 3.3, 3.5, 3.6, 3.7, 3.8, 3.9, 3.10, 3.11, 3.12, 3.13, 3.14, 9.1 or 9.2 of National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>;</li> <li>(f) an application under s. 164 of the Act for a management cease trade order;</li> </ul> <p>(2) For filing an application for a decision under s. 26 of this regulation.</p>	$\boxed{\$1,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	SORDER1
15.2	For filing an application for recognition in respect of an exchange	$\boxed{\$40,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	APPX
15.3	For filing an application for an exemption from recognition in respect of an exchange	$\boxed{\$15,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	APPXEXM
15.4	For filing an application for recognition in respect of a clearing agency	$\boxed{\$40,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	APPCA
15.5	For filing an application for an exemption from recognition in respect of a clearing agency	$\boxed{\$15,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	APPCAEXM
15.6	For filing Form 21-101F2 <i>Information Statement – Alternative Trading System</i> in respect of an alternative trading system if a Form 21-101F2 has not previously been filed with respect to that alternative trading system	$\boxed{\$25,000} \times \boxed{\phantom{0000}} = \boxed{\phantom{0000}}$	ATSIS

			<i>Commission Use Only</i>
15.7	For filing an application for recognition in respect of a trade repository	<input type="text" value="\$25,000"/> x <input type="text"/> = <input type="text"/>	APPTR
16	For filing a report		
16(1)	(a) <i>Repealed.</i>		
	(b) pursuant to the terms of an order made under section 76 of the <i>Act</i>		
	(c) under National Instrument 45-106 <i>Prospectus and Registration Exemptions</i> ,		
	the greater of		
	(i) \$200 or	<input type="text" value="\$200"/> x <input type="text"/> = <input type="text"/>	SDIST.03
	(ii) 0.03% or, in the case of a money market mutual fund, 0.01%, of the proceeds realized by the issuer from the distribution of the securities described in the report to purchasers in British Columbia	<input type="text" value="0.03%"/> x <input type="text"/> = <input type="text"/>	SDIST.03
16(2)	<i>repealed.</i>		
17	For filing an annual financial statement by a reporting issuer, as required under National Instrument 51-102 <i>Continuous Disclosure Obligations</i> or National Instrument 81-106 <i>Investment Fund Continuous Disclosure</i> , if the statement is filed		
	(a) within the prescribed time period	<input type="text" value="\$600"/> x <input type="text"/> = <input type="text"/>	SFIN
	(b) outside the prescribed time period	<input type="text" value="\$800"/> x <input type="text"/> = <input type="text"/>	SFINLAT
	(c) outside the prescribed time period and the commission or the executive director has ordered, in respect of the failure to file, the trading in the securities of the issuer cease	<input type="text" value="\$1,100"/> x <input type="text"/> = <input type="text"/>	SFINLCT
18	For filing an interim financial statement by reporting issuer, as required under National Instrument 51-102 <i>Continuous Disclosure Obligations</i> or National Instrument 81-106 <i>Investment Fund Continuous Disclosure</i> , if the statement is filed		
	(a) within the prescribed time period	<input type="text" value="No fee"/>	
	(b) outside the prescribed time period	<input type="text" value="\$200"/> x <input type="text"/> = <input type="text"/>	SFINILAT

			<i>Commission Use Only</i>
	(c) outside the prescribed time period and the commission or the executive director has ordered, in respect of the failure to file, the trading in the securities of the issuer cease	<input type="text" value="\$500"/> x <input type="text"/> = <input type="text"/>	SFINILCT
19	For filing a report required under section 87 of the <i>Act</i> , if the statement is filed		
	(a) within the prescribed time period	<input type="text" value="No fee"/>	
	(b) outside the prescribed time period	<input type="text" value="\$50"/> x <input type="text"/> = <input type="text"/>	SINSLATE
20	For filing a take-over bid circular or issuer bid circular.	<input type="text" value="\$4,500"/> x <input type="text"/> = <input type="text"/>	SBID
21	For filing an application under section 171 of the <i>Act</i> for revocation or variation of a decision in respect of the reactivation of a dormant issuer.	<input type="text" value="\$2,500"/> x <input type="text"/> = <input type="text"/>	S3/35
22	For an on-site search of a paper file.	<input type="text" value="\$6"/> x <input type="text"/> = <input type="text"/>	SSEARCH
23	For a copy of a record in the public file of the commission, for each page	<input type="text" value="\$0.50"/> x <input type="text"/> = <input type="text"/>	SCOPY
24	For the certification of a record		
	(a) for the number of pages, up to and including 10, included in the record	<input type="text" value="\$10"/> x <input type="text"/> = <input type="text"/>	SCERT
	(b) for each additional page over 10 included in the record	<input type="text" value="\$1"/> x <input type="text"/> = <input type="text"/>	SCERT
25	The fees and charges for an examination or investigation by a person appointed under sections 13 or 153 of the <i>Act</i> are an amount equal to the amount paid by the commission for the examination or investigation, not exceeding fees of \$2,000 for each day of the examination or investigation plus disbursements properly incurred for the examination or investigation	<input type="text"/> x <input type="text"/> = <input type="text"/>	SEXAM
26	The fees and charges for the costs of or related to a compliance review under section 141.1, 141.2 or 141.3 of the <i>Act</i> are		

		<i>Commission Use Only</i>
	<p>(a) \$100 per hour for each person involved in the compliance review</p> <p>(b) disbursements properly incurred by the commission or the executive director or the staff of either of them</p>	<p>SAUDIT</p>
27	<p>The fees and charges for an investigation by a person appointed under section 142 or 147 of the <i>Act</i> are an amount equal to the amount paid by the commission or the minister for the investigation, not exceeding fees of \$2,000 for each day of the investigation plus disbursements properly incurred for the investigation</p>	<p>SINVEST</p>
28	<p>The fees and charges for the costs of or related to a hearing are:</p> <p>(a) \$2,000 for each day or partial day of hearing</p> <p>(b) \$100 per hour for each person for time spent by the commission or the executive director or the staff of either of them</p> <p>(c) disbursements properly incurred by the commission or the executive director or the staff of either of them</p> <p>(d) fees paid to an expert or witness to a maximum of \$600 per hour for each person involved</p> <p>(e) disbursements properly incurred by an expert retained by the commission</p> <p>(f) fees paid for legal services, to a maximum of \$400 per hour for each person involved</p> <p>(g) disbursements properly incurred in connection with the provision of legal services to the commission</p>	<p>SHEAR</p>
29 - 31	<i>Repealed</i>	
32	<p>For any of the following:</p> <p>(a) submitting Form 31-103F2 <i>Submission to Jurisdiction and Appointment of Agent for Service</i> under s. 8.18(3)(e) or 8.26(4)(f) of National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i> or under both of those sections if submitted at the same time</p>	<p>INTLSUBM</p>

			<i>Commission Use Only</i>
	(b) providing a notification under s. 8.18(5) or 8.26(5) of National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i> or under both of those sections if the notification is provided at the same time	\$1,400 x <input type="text"/> = <input type="text"/>	INTLNOT
33	For a person that is a recognized exchange at any time during the period April 1 of the previous calendar year and March 31 of the current calendar year, by April 30 of the current calendar year	\$20,000 x <input type="text"/> = <input type="text"/>	SEXCH
34	For a person that is a recognized clearing agency, at any time during the period April 1 of the previous calendar year and March 31 of the current calendar year, by April 30 of the current calendar year	\$20,000 x <input type="text"/> = <input type="text"/>	SCLEAR
35	For a person that is an alternative trading system, at any time during the period April 1 of the previous calendar year and March 31 of the current calendar year, by April 30 of the current calendar year	\$5,000 x <input type="text"/> = <input type="text"/>	SATS
36	For a trade repository that is recognized under the Act at any time during the period April 1 of the previous calendar year and March 31 of the current calendar year, by April 30 of the current calendar year	\$15,000 x <input type="text"/> = <input type="text"/>	STR
	FOR NSF CHARGES	\$20 x <input type="text"/> = <input type="text"/>	SNSF
	<b>Grand Total:</b>	<input type="text"/>	