BCSC

British Columbia Securities Commission

BC FORM 11-901F
Securities Regulation
Fee Checklist

FOR COMMISSION USE ONLY

File Number

INSTRUCTIONS

1. This form **must** accompany all fee payments.
2. Cheques **must** be in Canadian funds made payable to the British Columbia Securities Commission.
3. NSF cheques will result in a $20.00 charge and all subsequent fee payments will require a certified cheque or money order.
4. 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"). 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.
5. The fees set out in this fee checklist are effective November 21, 2003.

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

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1. (a) For filing an application for registration or renewal of registration as a dealer, regardless of the number of categories to which the application relates	$2500 X	=	R1SD2
(b) In addition to the amount set out in paragraph (a), for each branch office of the applicant in British Columbia in which more than 3 registered persons carry on business, or will carry on business if registration is granted	$50 X	=	R1SDB2
2. For filing an application for registration or renewal of registration as a salesperson, partner, director or officer of a dealer in British Columbia	$250 X	=	R1SD
3. Unless item 4 applies, for filing an application for registration or renewal of registration as an underwriter	$2500 X	=	R1SU2
4. For filing an application for registration or renewal of registration as an underwriter if the applicant	$500 X	=	R1SU
(a) is registered as a dealer, or			
(b) is also applying for registration as a dealer			
5. (a) For filing an application for registration or renewal of registration as an adviser, regardless of the number of categories to which the application relates	$1500 X	=	R1SA2
(b) In addition to the amount set out in paragraph (a), for each branch office of the applicant in British Columbia in which more than 3 registered persons carry on business, or will carry on business if registration is granted	$50 X	=	R1SA2B
6. For filing an application for registration or renewal of registration as an advising employee, partner, director or officer of an adviser in British Columbia	$250 X	=	R1SA
7. For filing an application for reinstatement of a registration that has been suspended,			
(a) if the application is filed within the 3 month period following the suspension	No fee X	=	R2SD/TR
(b) if the application is filed after the 3 month period following the suspension	$250 X	=	R2SD/TR

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8. For each day that the financial statements of a registered dealer, underwriter or adviser have not been filed as required under the Rules, unless the commission or executive director has exempted in writing the registered dealer, underwriter or adviser from the requirement to file financial statements

$100 X ☐ = ☐ **RFSLATE**

9. (a) Subject to paragraphs (b) and (c), for filing a preliminary prospectus, a preliminary base shelf prospectus under NI 44-102, a preliminary base PREP prospectus under NI 44-103 or a pro forma prospectus

$2500 X ☐ = ☐ **SPROS/1**

   (b) For filing a preliminary or pro forma prospectus for a mutual fund

$1500 X ☐ = ☐ **SMFP**

   (c) For filing a preliminary exchange offering prospectus

$1500 X ☐ = ☐ **SEOP**

10. For filing a prospectus, the amount, if any, by which

   (a) 0.02%, or

0.02% X ☐ = ☐ **SPROS+**

   (b) in the case of a money market mutual fund, 0.01%

0.01% X ☐ = ☐ **SPROS+M**

of the proceeds realized by the issuer or security holder 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 sections 24 and 25

11. For filing an annual information form by an issuer other than a mutual fund

$1000 X ☐ = ☐ **SAIF**

12. For filing an amendment to a preliminary prospectus, prospectus or annual information form

$250 X ☐ = ☐ **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 ☐ = ☐ **STECH**

   (b) an application under section 171 of the Act for revocation or variation of a decision in respect of the reactivation of a dormant issuer

$500 X ☐ = ☐ **STECHDD**

14. For filing a notice by an issuer of its intention to offer securities under section 74 (2) (7) of the Act, if the notice includes a rights offering memorandum or circular

$500 X ☐ = ☐ **S55/2/7**

15. For filing an application to 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

$750 X ☐ = ☐ **SORDER**

16. For filing a report

   (1) (a) under section 139 of the Rules, except as provided in subsection (2) of this item,

      (b) pursuant to the terms of an order made under section 76 of the Act, or

      (c) under Multilateral Instrument 45-103 *Capital Raising Exemptions,*

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the greater of

    (i) $100, or

| $100 | X | | = | | 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

| 0.03% | X | | = | | SDIST.03 |

(2) under section 139 of the Rules, for a distribution under section 74 (2) (*8*) or (*11*) (i) of the Act

| $100 | X | | = | | SDIST |

17. For filing an annual financial statement by a reporting issuer, as required under section 145 or the Rules, if the statement is filed

(a) within the prescribed time period

| $600 | X | | = | | SFIN |

(b) outside the prescribed time period

| $800 | X | | = | | SFINLAT |

(c) outside the prescribed time period and the commission or the executive director has ordered, in respect of the failure to file, that trading in the securities of the issuer cease

| $1100 | X | | = | | SFINLCT |

18. For filing an interim financial statement by a reporting issuer, as required under section 144 of the Rules, if the statement is filed

(a) within the prescribed time period

| No fee | X | | = | | |

(b) outside the prescribed time period

| $200 | X | | = | | SFINILAT |

(c) outside the prescribed time period and the commission or the executive director has ordered, in respect of the failure to file, that trading in the securities of the issuer cease

| $500 | X | | = | | SFINILCT |

19. For filing a report required under section 87 of the Act, if the report is filed

(a) within the prescribed time period

| No fee | X | | = | | |

(b) outside the prescribed time period

| $50 | X | | = | | SINSLATE |

20. For filing a take over bid circular or issuer bid circular

| $750 | X | | = | | SBID |

21. For filing an application under section 171 of the Act for revocation or variation of a decision in respect of the reactivation of a dormant issuer

| $2500 | X | | = | | S3/35 |

22. For an on-site search of a paper file

| $6 | X | | = | | SSEARCH |

23. For a copy of a record in the public file of the commission, for each page

| $0.50 | X | | = | | SCOPY |

24. For the certification of a record

(a) for the number of pages, up to and including 10, included in the record

| $10 | X | | = | | SCERT |

(b) for each additional page over 10 included in the record

| $1 | X | | = | | SCERT |

25. The fees and charges for an examination or investigation by a person appointed under sections 13 or 153 of the Act are an amount equal to the amount paid by the commission for the examination or investigation, not exceeding fees of $2000 for each day of the examination or investigation plus disbursements properly incurred for the examination or investigation

| | X | | = | | SEXAM |

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26. The fees and charges for the costs of or related to a compliance review under section 29 or 39 of the Act are

    (a) $100 per hour for each person involved in the compliance review   [ ] X [ ] = [ ]   SAUDIT

    (b) disbursements properly incurred by the commission or the executive director or the staff of either of them

27. The fees and charges for an investigation by a person appointed under section 142 or 147 of the Act are an amount equal to the amount paid by the commission or the minister for the investigation, not exceeding fees of $2000 for each day of the investigation plus disbursements properly incurred for the investigation   [ ] X [ ] = [ ]   SINVEST

28. The fees and charges for the costs of or related to a hearing are

    [ ] X [ ] = [ ]   SHEAR

    (a) $2000 for each day or partial day of hearing

    (b) $100 per hour for each person for time spent by the commission or the executive director or the staff of either of them

    (c) disbursements properly incurred by the commission or the executive director or the staff of either of them

    (d) fees paid to an expert or witness, to a maximum of $600 per hour for each person involved

    (e) disbursements properly incurred by an expert retained by the commission

    (f) fees paid for legal services, to a maximum of $400 per hour for each person involved

    (g) disbursements properly incurred in connection with the provision of legal services to the commission

29. For filing an application for a certificate confirming that a reporting issuer is not in default of

    (a) filing financial statements required by the Act or the regulations   [$100] X [ ] = [ ]   SCERTDEF

    (b) paying prescribed fees and charges

30. For filing an application for an approval of a waiver of the appointment of an auditor under section 179 (3) (b) of the *Company Act*   [$100] X [ ] = [ ]   SWAUD

31. For filing an application for a consent to the restoration of a company or extraprovincial company to the register under section 262 (4) (c) of the *Company Act*   [ ] X [ ] = [ ]   SCRES

For NSF charges   [$20] X [ ] = [ ]   SNSF