



British Columbia Securities Commission

Fee Checklist Securities Regulation

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 January 1, 2001.

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

			COMMISSION USE ONLY
1.	For filing an application for registration or renewal of registration as a dealer, regardless of the number of categories to which the application relates, for a period of one year		
	(a) for the dealer's principal place of business in British Columbia	\$2500 x <input type="text"/> = <input type="text"/>	R1SD2
	(b) for each branch office of the dealer in British Columbia if more than 3 registered individuals carry on business on behalf of the dealer	\$50 x <input type="text"/> = <input type="text"/>	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, for a period of one year	\$250 x <input type="text"/> = <input type="text"/>	R1SD
3.	Subject to item 4, for filing an application for registration or renewal of registration as an underwriter, for a period of one year	\$2500 x <input type="text"/> = <input type="text"/>	R1SU2
4.	For filing an application for registration or renewal of registration as an underwriter, for a period of one year, if registered as a dealer under item 1	\$500 x <input type="text"/> = <input type="text"/>	R1SU
5.	For filing an application for registration or renewal of registration as an adviser, regardless of the number of categories to which the application relates, for a period of one year		
	(a) for the adviser's principal place of business in British Columbia	\$1500 x <input type="text"/> = <input type="text"/>	R1SA2
	(b) for each branch office of the adviser in British Columbia if more than 3 registered individuals carry on business on behalf of the adviser	\$50 x <input type="text"/> = <input type="text"/>	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, for a period of one year	\$250 x <input type="text"/> = <input type="text"/>	R1SA
7.	For filing an application for reinstatement of the registration of a salesperson, partner, director or officer from one dealer to another dealer	\$100 x <input type="text"/> = <input type="text"/>	R2SD/TR
8.	For filing an application for reinstatement of the registration of an advising employee, partner, director or officer from one adviser to another adviser	\$100 x <input type="text"/> = <input type="text"/>	R2SA/TR

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9. For notification of change under section 42 (1), (2) or (3) of the Act, except for sections 42 (1) (c), 42 (2) (b) and, if referring to a branch office with fewer than 4 registered individuals, sections 42 (1) (d) (ii) and 42 (2) (c) (ii)	\$100 x <input type="text"/> = <input type="text"/>	S28/1/2
10. For issuance of a replacement certificate of registration, including replacement if the name of the registrant has changed or the certificate has been lost or destroyed	\$100 x <input type="text"/> = <input type="text"/>	RCERT
11. For each day that the financial statements of a registered dealer, underwriter or adviser have not been filed as required under the <i>Securities Rules</i> , 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 <input type="text"/> = <input type="text"/>	RFSLATE
12. (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 <input type="text"/> = <input type="text"/>	SPROS/1
(b) For filing a preliminary or pro forma prospectus for a mutual fund	\$1500 x <input type="text"/> = <input type="text"/>	SMFP
(c) For filing a preliminary exchange offering prospectus	\$1500 x <input type="text"/> = <input type="text"/>	SEOP
13. For filing a prospectus, the amount, if any, by which		
(a) 0.02%, or	0.02% x <input type="text"/> = <input type="text"/>	SPROS+
(b) in the case of a money market mutual fund, as defined in NI 81-102, 0.01%	0.01% x <input type="text"/> = <input type="text"/>	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 12, which amount must be paid in accordance with subsections (5) and (6)		
14. For filing an annual information form by an issuer other than a mutual fund	\$1000 x <input type="text"/> = <input type="text"/>	SAIF
15. For filing an amendment to a preliminary prospectus, prospectus or annual information form	\$250 x <input type="text"/> = <input type="text"/>	SAMEND
16. 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 section 171 of the Act for revocation or variation of a decision in respect of the reactivation of a dormant issuer	\$500 x <input type="text"/> = <input type="text"/>	STECHDD
17. 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 <input type="text"/> = <input type="text"/>	S55/2/7
18. 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 <input type="text"/> = <input type="text"/>	SORDER

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19. For filing a report			
(a) under section 139 of the Rules, other than for a distribution under section 74 (2) (8) or (11) (i) of the Act, or pursuant to the terms of an order made under section 76 of the Act, the greater of			
(i) \$100, or	\$100 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	0.03% x <input type="text"/>	= <input type="text"/>	SDIST.03
(b) under section 139 of the Rules, for a distribution under section 74 (2) (8) or (11) (i) of the Act	\$100 x <input type="text"/>	= <input type="text"/>	SDIST
20. For filing an annual financial statement by a reporting issuer, as required under section 145 of the Rules, if the statement is filed			
(a) within the prescribed time period	\$600 x <input type="text"/>	= <input type="text"/>	SFIN
(b) outside the prescribed time period	\$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, that trading in the securities of the issuer cease	\$1100 x <input type="text"/>	= <input type="text"/>	SFINLCT
21. 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	NIL x <input type="text"/>	= <input type="text"/>	
(b) outside the prescribed time period	\$200 x <input type="text"/>	= <input type="text"/>	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 <input type="text"/>	= <input type="text"/>	SFINILCT
22. For filing a report required under section 87 of the Act, if the report is filed			
(a) within the prescribed time period	NIL x <input type="text"/>	= <input type="text"/>	
(b) outside the prescribed time period	\$50 x <input type="text"/>	= <input type="text"/>	SINSLATE
23. For filing a take over bid circular or issuer bid circular	\$750 x <input type="text"/>	= <input type="text"/>	SBID
24. 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 <input type="text"/>	= <input type="text"/>	S3/35
25. For an on-site search of a paper file	\$6 x <input type="text"/>	= <input type="text"/>	SSEARCH
26. For a copy of a record in the public file of the commission, for each page	\$0.50 x <input type="text"/>	= <input type="text"/>	SCOPY
27. For the certification of a record			
(a) for the number of pages, up to and including 10, included in the record	\$10 x <input type="text"/>	= <input type="text"/>	SCERT
(b) for each additional page over 10 included in the record	\$1 x <input type="text"/>	= <input type="text"/>	SCERT
28. 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	<input type="text"/> x <input type="text"/>	= <input type="text"/>	SEXAM

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		COMMISSION USE ONLY
29. The fees and charges for the costs of or related to a compliance review under section 29 or 39 of the Act are	<input type="text"/> x <input type="text"/> = <input type="text"/>	SAUDIT
(a) \$100 per hour for each person involved in the compliance review		
(b) disbursements properly incurred by the commission or the executive director or the staff of either of them		
30. 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	<input type="text"/> x <input type="text"/> = <input type="text"/>	SINVEST
31. The fees and charges for the costs of or related to a hearing are	<input type="text"/> x <input type="text"/> = <input type="text"/>	SHEAR
(a) \$2000 for each day or partial day of hearing		
(b) \$100 per hour for each person employed by the commission		
(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		
32. For filing an application for a certificate confirming that a reporting issuer is not in default of	\$100 x <input type="text"/> = <input type="text"/>	SCERTDEF
(a) filing financial statements required by the Act or the regulations		
(b) paying prescribed fees and charges		
33. For filing an application for an approval of a waiver of the appointment of an auditor under section 179 (3) (b) of the <i>Company Act</i>	\$100 x <input type="text"/> = <input type="text"/>	SWAUD
34. 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 <i>Company Act</i>	\$100 x <input type="text"/> = <input type="text"/>	SCRES
35. For filing an application for a waiver under Part XII of National Policy No. 41 <i>Shareholder Communication</i>	\$100 x <input type="text"/> = <input type="text"/>	SWNP41
For NSF charges	\$20 x <input type="text"/> = <input type="text"/>	SNSF