



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEEES**

<b>Authorisation, Registration &amp; Renewal Fees for Registrants</b>		<b>Revised Fees</b>					
<b>Registrant Type</b>	<b>Current Fee (\$ or %)</b>	<b>Phase 1 Year 1 - 2 (2 years)</b>		<b>Phase 2 Year 3 - 6 (4 years)</b>		<b>Phase 3 Year 7 and going forward</b>	
		<b>Initial</b>	<b>Renewal</b>	<b>Initial</b>	<b>Renewal</b>	<b>Initial</b>	<b>Renewal</b>
		Reporting issuer	\$8,000	\$24,800	\$24,800	\$25,600	\$25,600
Broker dealer	\$25,000	\$77,500	\$77,500	\$80,000	\$80,000	\$93,750	\$93,750
Broker dealer/underwriter	\$30,000	\$93,000	\$93,000	\$96,000	\$96,000	\$112,500	\$112,500
Underwriter	\$20,000	\$62,000	\$62,000	\$64,000	\$64,000	\$75,000	\$75,000
Investment advisor - Corporation	\$15,000	\$46,500	\$46,500	\$48,000	\$48,000	\$56,250	\$56,250
Investment advisor - Individual	\$10,000	\$31,000	\$31,000	\$32,000	\$32,000	\$37,500	\$37,500
Registered representative - per individual	\$2,000	\$6,200	\$6,200	\$6,400	\$6,400	\$7,500	\$7,500
Sponsored broker dealer or investment advisor	\$5,000	\$15,500	n/a	\$16,000	n/a	\$18,750	n/a
Substantial shareholder - per shareholder	\$1,000	\$3,100	n/a	\$3,200	n/a	\$3,750	n/a
Branch office - per office	\$3,000	\$9,300	\$9,300	\$9,600	\$9,600	\$11,250	\$11,250



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEEES**

<b>Registration &amp; Renewal Fees for Self-Regulatory Organisations</b>							
<b>Registrant Type</b>	<b>Current Fee (\$ or %)</b>	<b>Revised Fees</b>					
		<b>Phase 1 Year 1 – 2 (2 years)</b>		<b>Phase 2 Year 3 – 6 (4 years)</b>		<b>Phase 3 Year 7 and going forward</b>	
		<b>Initial</b>	<b>Renewal</b>	<b>Initial</b>	<b>Renewal</b>	<b>Initial</b>	<b>Renewal</b>
SRO	Initial - \$50,000 Renewal - The higher of \$30,000 or 0.02% of the profits of the SRO in the prior financial year	\$155,000	The higher of \$93,000 or 0.062% of the profits of the SRO in the prior financial year	\$160,000	The higher of \$96,000 or 0.064% of the profits of the SRO in the prior financial year	\$187,500	The higher of \$112,500 or 0.075% of the profits of the SRO in the prior financial year
SRO - Stock Exchange	Initial - \$50,000 Renewal - 0.02% of value of transactions based on audited F/S	\$155,000	0.062% of value of transactions based on audited F/S	\$160,000	0.064% of value of transactions based on audited F/S	\$187,500	0.075% of value of transactions based on audited F/S



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEEs**

<b>Registration Fees for Securities</b>				
<b>Type</b>	<b>Current Fee (\$ or %)</b>	<b>Revised Fees</b>		
		<b>Phase 1</b> Year 1 – 2 (2 years)	<b>Phase 2</b> Year 3 – 6 (4 years)	<b>Phase 3</b> Year 7 and going forward
Filing of a Distribution Statement	\$1,000	\$3,100	\$3,200	\$3,750
Market Access Fees for Securities (Including close end CISs and Excluding Small and Medum Enterprises (SMEs))	0.01% of the value of funds raised subject to a minimum of \$1,000	0.0120% of the value of funds raised subject to a minimum of \$3,100	0.0125% of the value of funds raised subject to a minimum of \$3,200	0.0130% of the value of funds raised subject to a minimum of \$3,750
Market Access Fees for open-ended funds	0.01% of the value of funds raised in previous year (based on Audited accounts)	0.0120% Market Access Fees based on the value of Subscriptions in previous year (based on Audited accounts)	0.0125% Market Access Fees based on the value of Subscriptions in previous year (based on Audited accounts)	0.0130% Market Access Fees based on the value of Subscriptions in previous year (based on Audited accounts)

<b>Filing Fees</b>				
<b>Type</b>	<b>Current Fee (\$ or %)</b>	<b>Revised Fees</b>		
		<b>Phase 1</b> Year 1 – 2 (2 years)	<b>Phase 2</b> Year 3 – 6 (4 years)	<b>Phase 3</b> Year 7 and going forward
Filing of Prospectus	\$17,500	\$54,250	\$56,000	\$65,625
Filing of Prospectus (SME)	N/A	\$17,500	\$17,500	\$17,500
Filing of Information Memorandum	\$10,000	\$31,000	\$32,000	\$37,500
Filing of Information Memorandum (SME)	N/A	\$10,000	\$10,000	\$10,000
Filing of takeover bid-circular or Issuer Bid Circular	\$15,000	\$46,500	\$48,000	\$56,250
Filing of a Notice of Change or Notice of Variation under the Take-Over Bye-laws	\$1,000	\$3,100	\$3,200	\$3,750



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEES**

<b>Other Fees</b>				
<b>Type</b>	<b>Current Fee (\$ or %)</b>	<b>Revised Fees</b>		
		<b>Phase 1 Year 1 – 2 (2 years)</b>	<b>Phase 2 Year 3 – 6 (4 years)</b>	<b>Phase 3 Year 7 and going forward</b>
Inspection of and Extracts of Register	Nominal fee of \$100 per visit plus \$3.00 p/page copied	Nominal fee of \$100 per visit plus \$3.00 p/page copied	Nominal fee of \$100 per visit plus \$3.00 p/page copied	Nominal fee of \$100 per visit plus \$3.00 p/page copied
Application for de-listing a security from an SRO that is a Securities Exchange	\$1,000	\$3,100	\$3,200	\$3,750
Application for Delisting as a Reporting Issuer	\$1,000	\$3,100	\$3,200	\$3,750



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEES**

<b>New Fees</b>			
Type	Phase 1 Year 1 - 2 (2 years)	Phase 2 Year 3 - 6 (4 years)	Phase 3 Year 7 and going forward
<b>Shelf Registration and Limited Offerings</b>			
Securities Registration - Shelf Registration Programs	0.0120% of the value of funds raised subject to a minimum of \$3,100	0.0125% of the value of funds raised subject to a minimum of \$3,200	0.0130% of the value of funds raised subject to a minimum of \$3,750
Shelf Registration - Filing of Base Prospectus	\$54,250	\$56,000	\$65,625
Shelf Registration - Filing of Supplementary Prospectus	\$13,563	\$14,000	\$16,406
Limited offerings filing and review fee	0.0120% of the value of funds raised subject to a minimum of \$3,100	0.0125% of the value of funds raised subject to a minimum of \$3,200	0.0130% of the value of funds raised subject to a minimum of \$3,750
<b>Inspection and Examination Fees</b>			
Compliance Reviews – Director fee per hour or part thereof	\$566 (per hour)	\$584 (per hour)	\$685 (per hour)
Compliance Reviews – Senior Financial Research Officer fee per hour	\$472 (per hour)	\$487 (per hour)	\$571 (per hour)
Compliance Reviews – Financial Research Officer fee per hour	\$327 (per hour)	\$337 (per hour)	\$395 (per hour)
Examination of Market Actors – Director fee per hour	\$566 (per hour)	\$584 (per hour)	\$685 (per hour)
Examination of Market Actors – Senior Financial Research Officer fee per hour	\$472 (per hour)	\$487 (per hour)	\$571 (per hour)
Examination of Market Actors – Financial Research Officer fee per hour	\$327 (per hour)	\$337 (per hour)	\$395 (per hour)
Cost Associated with an Investigation – Director fee per hour	\$566 (per hour)	\$584 (per hour)	\$685 (per hour)
Cost Associated with an Investigation – Senior Financial Research Officer fee per hour	\$472 (per hour)	\$487 (per hour)	\$571 (per hour)
Cost Associated with an Investigation – Financial Research Officer fee per hour	\$327 (per hour)	\$337 (per hour)	\$395 (per hour)
If the services of a consultant are required for Compliance Reviews, Examination of Market Actors and an Investigation; the costs of the consultant will be paid by the respective registrant or market actor.			



**Securities (General) Bye – Laws, 2015 Chap 83.03**

**SCHEDULE 1**

**FEEES**

<b>Registrant Supervisory Fees (Annual Fee)</b>			
<b>Type</b>	<b>Phase 1 Year 1 - 2 (2 years)</b>	<b>Phase 2 Year 3 - 6 (4 years)</b>	<b>Phase 3 Year 7 and going forward</b>
Reporting issuer	\$5,000	\$8,750	\$9,500
Broker dealer	\$10,000	\$17,500	\$19,000
Broker dealer/underwriter	\$10,000	\$17,500	\$19,000
Underwriter	\$10,000	\$17,500	\$19,000
Broker dealer also conducting business of a CIS Manager	\$10,000	\$17,500	\$19,000
Broker dealer also conducting business of a CIS Manager and Underwriter	\$10,000	\$17,500	\$19,000
Restricted Broker dealer	\$10,000	\$17,500	\$19,000
Self-Managed Fund	\$10,000	\$17,500	\$19,000
Approval of Branch Office Self-Managed Fund	\$2,500	\$4,375	\$4,750
Responsible Person	N/A	N/A	N/A
Responsible Person also conducting activities of a Custodian	N/A	N/A	N/A
Custodian	N/A	N/A	N/A
Investment advisor - Corporation	\$10,000	\$17,500	\$19,000
Investment advisor - Individual	\$1,000	\$1,750	\$1,900
Registered representative - per individual	\$1,000	\$1,750	\$1,900
Sponsored broker dealer or investment advisor	\$5,000	\$8,750	\$9,500
Substantial shareholder - per shareholder	\$1,000	\$1,750	\$1,900
Branch office - per office	\$2,500	\$4,375	\$4,750
Self-Regulatory Organisation	\$10,000	\$17,500	\$19,000
Self-Regulatory Organisation - Stock Exchange	\$10,000	\$17,500	\$19,000



Securities (General) Bye – Laws, 2015 Chap 83.03

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**FEES**

<b>Collective Investment Schemes Supervisory Fees (Annual Fee)</b>			
<b>Assets Under Management of CIS</b>	<b>Phase 1 Year 1 - 2 (2 years)</b>	<b>Phase 2 Year 3 - 6 (4 years)</b>	<b>Phase 3 Year 7 and going forward</b>
Less than \$2,500,000	\$5,000	\$8,750	\$9,500
\$2,500,000 - \$10,000,000	\$7,500	\$13,125	\$14,250
\$10,000,000 - \$25,000,000	\$10,000	\$17,500	\$19,000
\$25,000,000 - \$50,000,000	\$15,000	\$26,250	\$28,500
\$50,000,000 - \$100,000,000	\$20,000	\$35,000	\$38,000
\$100,000,000 - \$250,000,000	\$25,000	\$43,750	\$47,500
\$250,000,000 - \$500,000,000	\$30,000	\$52,500	\$57,000
\$500,000,000 - \$1,000,000,000	\$45,000	\$78,750	\$85,500
\$1,000,000,000 - \$1,500,000,000	\$60,000	\$105,000	\$114,000
\$1,500,000,000 - \$2,500,000,000	\$75,000	\$131,250	\$142,500
\$2,500,000,000 - \$3,500,000,000	\$100,000	\$175,000	\$190,000
\$3,500,000,000 and above	\$150,000	\$262,500	\$285,000