



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 September 30, 2009

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

			COMMISSION USE ONLY
<p>1. For seeking or maintaining registration as:</p> <p>(a) a dealer;</p> <p>(b) an advisor; or</p> <p>(c) an investment fund manager.</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><input type="text"/> X <input type="text"/> = <input type="text"/></p> <p><input type="text"/> X <input type="text"/> = <input type="text"/></p> <p><input type="text"/> X <input type="text"/> = <input type="text"/></p>	<p>R1SD2</p> <p>R1SA2</p> <p>R1SU2</p>	
<p>2. For seeking or maintaining registration as a:</p> <p>(i) dealing representative;</p> <p>(ii) advising representative; or</p> <p>(iii) associate advising representative.</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><input type="text"/> X <input type="text"/> = <input type="text"/></p> <p><input type="text"/> X <input type="text"/> = <input type="text"/></p> <p><input type="text"/> X <input type="text"/> = <input type="text"/></p>	<p>R1SD</p> <p>R1SA</p> <p>R1SU</p>	
<p>3. <i>repealed</i></p>			
<p>4. <i>repealed</i></p>			
<p>5. <i>repealed</i></p>			
<p>6. <i>repealed</i></p>			
<p>7. <i>repealed</i></p>			

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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</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	<input type="text"/> 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	<input type="text"/> X <input type="text"/> = <input type="text"/>	SPROS/1
	(b) For filing a preliminary or pro forma prospectus for a mutual fund	<input type="text"/> X <input type="text"/> = <input type="text"/>	SMFP
	(c) For filing a preliminary exchange offering prospectus	<input type="text"/> X <input type="text"/> = <input type="text"/>	SEOP
10.	For filing a prospectus, the amount, if any, by which		
	(a) 0.02%, or	<input type="text"/> X <input type="text"/> = <input type="text"/>	SPROS+
	(b) in the case of a money market mutual fund, 0.01%	<input type="text"/> 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 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	<input type="text"/> X <input type="text"/> = <input type="text"/>	SAIF
12.	For filing an amendment to a preliminary prospectus, prospectus or annual information form	<input type="text"/> 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	<input type="text"/> 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	<input type="text"/> X <input type="text"/> = <input type="text"/>	STECHDD
14.	For filing a notice by an issuer of its intention to offer securities under section 2.1 of National Instrument 45-106 <i>Prospectus and Registration Exemptions</i> , if the notice includes a rights offering memorandum or circular	<input type="text"/> X <input type="text"/> = <input type="text"/>	S55/2/7
15.	For filing an application, other than an application to revoke a cease-trade order in effect for less than 91 days, 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	<input type="text"/> X <input type="text"/> = <input type="text"/>	SORDER
16.	For filing a report		
	(1) (a) <i>repealed</i> ,		
	(b) pursuant to the terms of an order made under section 76 of the Act, or		
	(c) under National Instrument 45-106 <i>Prospectus and Registration Exemptions</i> ,		

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the greater of			
(i) \$100, or	<input type="text"/>	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"/>	X <input type="text"/> = <input type="text"/>	SDIST.03
(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"/>	X <input type="text"/> = <input type="text"/>	SFIN
(b) outside the prescribed time period	<input type="text"/>	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	<input type="text"/>	X <input type="text"/> = <input type="text"/>	SFINLCT
18. For filing an interim 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	No fee	X <input type="text"/> = <input type="text"/>	
(b) outside the prescribed time period	<input type="text"/>	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	<input type="text"/>	X <input type="text"/> = <input type="text"/>	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 <input type="text"/> = <input type="text"/>	
(b) outside the prescribed time period	<input type="text"/>	X <input type="text"/> = <input type="text"/>	SINSLATE
20. For filing a take over bid circular or issuer bid circular	<input type="text"/>	X <input type="text"/> = <input type="text"/>	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	<input type="text"/>	X <input type="text"/> = <input type="text"/>	S3/35
22. For an on-site search of a paper file	<input type="text"/>	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"/>	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"/>	X <input type="text"/> = <input type="text"/>	SCERT
(b) for each additional page over 10 included in the record	<input type="text"/>	X <input type="text"/> = <input type="text"/>	SCERT

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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

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 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

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

SHEAR

(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. *obsolete*

30. *obsolete*

31. *obsolete*

For NSF charges X =

SNSF

Grand Total: