

**NOVA SCOTIA SECURITIES COMMISSION**

**RULE 11-510  
AMENDMENTS TO THE  
GENERAL SECURITIES RULES**

**PART 1 – DEFINITIONS**

- 1.1 “General Securities Rules”, as defined in Rule 14-501 *Definitions*, means the rules deemed by subsection 150A(9) of the Act to have been made pursuant to section 150 of the Act, as amended from time to time.

**PART 2 – AMENDMENTS**

- 2.1 Section 205 of the General Securities Rules is amended by, in subsection (a), replacing “the like fees and allowances for his attendance before the person as are paid for the attendance of a witness summoned to attend before a judge of the Trial Division of the Supreme Court” with “\$50 per day of attendance, plus \$0.30 per kilometer travelled, one way”.
- 2.2 Appendix A of the General Securities Rules is amended by revoking *Schedule 1 - Fees* and *Schedule 2 – Prescribed fees and tariff of costs* and substituting the following:

**Appendix A  
Schedule 1 - Fees**

1. All fees payable pursuant to this Rule are payable to the Minister of Finance.
2. Unless otherwise prescribed, for each matter described in Column 1, the Minister of Finance shall be paid the fee prescribed for that matter in Column 2:

<b>Item</b>	<b>Column 1 Description</b>	<b>Column 2 Fee</b>
	<b>Registration – individuals</b>	
1	(1) Application for registration or re-activation in one or more of the following individual categories:	
	(a) Dealing representative;	\$350.35
	(b) Advising representative;	\$350.35
	(c) Associate advising representative;	\$350.35
	(d) Ultimate designated person;	\$350.35
	(e) Chief compliance officer	\$350.35

Item	Column 1 Description	Column 2 Fee
	(2) Submission of any form for review by a permitted individual under National Instrument 33-109 <i>Registration Information</i> .	\$28.65
	(3) Annual maintenance fee to maintain individual categories of registration, payable on December 31 of each year.	\$350.35
	(4) Annual maintenance fee for every permitted individual, payable on December 31 of each year.	\$28.65
	(5) Application for transfer of registration as a dealing representative, an advising representative, an associate representative, an ultimate designated person, or a chief compliance officer	\$116.80
<b>Registration – firms and business locations</b>		
2	(1) Application for registration as a dealer, an adviser or an investment fund manager.	\$699.50
	(2) For each additional business location in Nova Scotia opened by a registered firm.	\$116.80
	(3) Annual maintenance fee to maintain a registered firm's registration, payable on December 31 of each year.	\$699.50
	(4) Annual maintenance fee for each business location in Nova Scotia, payable on December 31 of each year.	\$116.80
	(5) Application for amendment of registration as a dealer, an adviser or an investment fund manager on Form 33-109F5.	\$28.65

Item	Column 1 Description	Column 2 Fee
	<b>Prospectus</b>	
3	For each issuer filing a prospectus:	
	<p>(1) A preliminary prospectus or <i>pro forma</i> prospectus in Form 41- 101 F1 <i>Information Required in a Prospectus</i>;</p> <p>(2) A preliminary short form prospectus in Form 44-101F1 <i>Short Form Prospectus</i>;</p> <p>(3) A preliminary base shelf prospectus or WKSI base shelf prospectus under National Instrument 44-102 <i>Shelf Distributions</i> or National Instrument 71-101 <i>The Multijurisdictional Disclosure System</i>;</p> <p>(4) A preliminary prospectus or pro forma prospectus in Form 41- 101F2 <i>Information Required in an Investment Fund Prospectus</i> or scholarship plan prospectus in Form 41- 101F3 <i>Information Required in a Scholarship Plan Prospectus</i>;</p> <p>(5) Each shelf prospectus supplement (other than a pricing supplement) filed pursuant to National Instrument 44-102 <i>Shelf Distributions</i> or National Instrument 71-101 <i>The Multijurisdictional Disclosure System</i>;</p> <p style="padding-left: 40px;">**Issuers who are not reporting issuers in Nova Scotia at the time of filing a preliminary short form prospectus must also pay the applicable fees to file any annual information form or annual financial statements to be incorporated by reference at the time of filing.</p>	<p>\$991.50 if Nova Scotia is not the principal regulator or \$1,458.60 if Nova Scotia is the principal regulator</p>
	<p>(6) A preliminary prospectus or <i>pro forma</i> simplified prospectus in Form 81-101F1 <i>Contents of Simplified Prospectus</i> in Form 81-101F2 <i>Contents of Annual Information Form</i>;</p> <p style="padding-left: 40px;">**See Fund Facts and ETF Facts Documents below for applicable fees.</p>	\$0
	<p>(7) Where a preliminary prospectus or a <i>pro forma</i> prospectus includes more than one class of securities or more than one type of unit offering and no fund facts or ETF facts document is filed;</p>	\$350.35 for each additional class of securities or each type of unit offering
	<p>(8) For each prospecting syndicate agreement that is filed;</p>	\$175.15

Item	Column 1 Description	Column 2 Fee
	(9) In addition to the above, where the issuer is a natural resource company and its property or properties are subject of a report filed with the preliminary prospectus or pro forma prospectus.	\$116.80 for each property of the issuer that is the subject of a report filed with the preliminary prospectus or <i>pro forma</i> prospectus
	<b>Funds Facts or ETF Facts Documents</b>	
4	For each issuer filing a fund facts or ETF facts document:	
	(1) An ETF Facts in Form 41- 101F4 <i>Information Required in an ETF Facts Document</i> ; ** For an ETF facts document that is consolidated to form a multiple fund facts document or a multiple ETF facts document, the fee is payable for each fund to which the ETF facts document applies.	\$991.50 if Nova Scotia is not the principal regulator or \$1,458.60 if Nova Scotia is the principal regulator
	(2) A fund facts document for a mutual fund in Form 81- 101F3 <i>Contents of Fund Facts Document</i> ; ** For a fund facts document that is consolidated to form a multiple fund facts document or a multiple ETF facts document, the fee is payable for each fund to which the fund facts document applies.	\$1,400.20 if Nova Scotia is not the principal regulator or \$1,924.55 if Nova Scotia is the principal regulator
	(3) Where a fund facts or ETF facts document includes more than one class or series of securities, or more than one type of unit offering.	\$350.35 for each additional class or series of securities or each type of unit offering
	<b>Amendments</b>	
5	(1) For each issuer filing an amendment to any prospectus;	\$116.80 per document amended

Item	Column 1 Description	Column 2 Fee
	(2) For each additional class or series of securities or each type of unit offering not previously included in a prospectus and there is no amendment to a fund facts or ETF facts document;	\$350.35 for each additional class or series of securities or each type of unit offering
	(3) In addition to the fees set out in Items 5(1) and (2), where an amendment to a prospectus is accompanied by a report on a property or an amended financial statement.	\$175.15 per report on a property and per amended financial statements
	<b>Technical or engineering reports</b>	
6	A technical or engineering report filed with a preliminary prospectus, <i>pro forma</i> prospectus or an amendment to a preliminary prospectus or prospectus.	\$175.15 per property
	<b>Annual information forms and annual disclosure statement</b>	
7	For each issuer filing an annual information form.	\$1,400.20
	<b>Take-over and issuer bids</b>	
8	(1) For each take-over bid circular or issuer bid circular filed;	\$408.70
	(2) For each directors' circular filed pursuant to a takeover bid, individual director's or officer's circular filed;	\$116.80
	(3) For amendments to a takeover bid circular or issuer bid circular, or the filing of each notice of change or variation of a take-over bid circular or issuer bid circular.	\$116.80
	<b>Exempt market offerings</b>	
9	(1) For filing a Form 45-106F14 <i>Rights Offering Notice for Reporting Issuers</i> 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.	\$408.70
	(2) For delivery of a Form 1: Offering Document under the <i>Community Economic-Development Corporations Regulations</i> .	\$28.65

<b>Item</b>	<b>Column 1 Description</b>	<b>Column 2 Fee</b>
	<b>Applications, Notices, and Certifications</b>	
10	(1) For each application made:	
	(a) under section 79 of the Act;	\$525.50
	(b) under any other section of Nova Scotia securities laws or policy statements issued pursuant to Section 19 of the Act or its predecessor and not otherwise provided for in this Schedule.	\$408.70
	(2) For an expedited review of any application (in addition to the application fee).	\$408.70
	(3) For each notice to the Commission for a hearing and review under subsection 6(2) of the Act.	\$58.40
	(4) For certification of a statement referred to in Section 147 of the Act by the Commission or a member of the Commission, or the Director.	\$58.40 plus \$1.15 per page photocopied
	(5) For certification of a decision, document, record, or thing by the Commission, Director, Secretary or other authorized official.	\$58.40 plus \$1.15 per page photocopied
	(6) For requests to examine material required to be made available for public inspection.	\$22.90 per search plus \$1.15 per page photocopied
	<b>Annual financial statements and annual disclosure statements</b>	
11	For filing annual financial statements or annual disclosure statements:	
	(1) For each reporting issuer listed on a stock exchange in Canada;	\$311.45
	(2) For each reporting issuer not listed on a stock exchange in Canada.	\$195.15
	<b>Reports of exempt distributions</b>	
12	(1) For filing a report of exempt distribution in Form 45-106F1.	\$28.65
	(2) For filing Form 2A of the Community Economic-Development Corporations Regulations.	\$0

Item	Column 1 Description	Column 2 Fee
	(3) For filing Form 22A attached to Rule GSR-1 Annual Co-operative Report of Exempt Distribution.	\$0
	<b>Material Change Reports</b>	
13	For each Form 51-102F3 <i>Material Change Report</i> filed.	\$0

### Schedule 2 – Prescribed Fees and Tariff of Costs

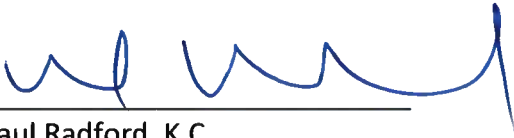
1. For each hour during which the Director or any lawyer, investigator, or accountant employed or engaged by the Commission is engaged in the investigation and prosecution of an offence, or is engaged in the investigation or conduct of a proceeding in respect of which an order is made pursuant to Sections 133, 134, or 135 of the Act, including but not limited to preparation for and attendance at any related trials or hearings, the sum of \$58.40 for each person so engaged, plus all charges for the costs of the prosecution or conduct of the proceeding.
2. For each person appointed pursuant to Section 27, 29 or 29E of the Act, an amount equal to the amount paid by the Commission or the Minister for the investigation or examination, not exceeding fees of \$2,000 for each day of the investigation or examination, including attendance at any hearing before the Commission related to the investigation or examination, plus all charges for the costs of the investigation or examination.
3. For each expert appointed to assist in an investigation pursuant to Section 27 or 29 of the Act, or appointed by the Director to assist in litigation related to such an investigation, an amount equal to the amount paid by the Commission or the Minister to such expert not exceeding fees of \$1,000 for each day that the expert is so engaged plus all charges for the disbursement costs of the expert.

### PART 3 – EFFECTIVE DATE

- 3.1 This Rule shall take effect on March 3, 2025 or on such other date as may be specified by the Minister, unless the Minister disapproves the rule or returns it to the Commission in accordance with subsection 150A(3) of the Act in which event the rule shall not be effective until the rule is approved by the Minister.

**IN WITNESS WHEREOF** this Instrument has been signed by the Chair and the Vice Chair of the Commission, being the members of the Commission prescribed by the Chair pursuant to subsection 15(3) of the Act to attend the hearing of this matter and the quorum with respect to

this matter, on the 27th day of November, 2024.

A handwritten signature in blue ink, appearing to read "Paul Radford", written over a horizontal line.

Paul Radford, K.C.  
Chair

A handwritten signature in blue ink, appearing to read "Valerie Seager", written over a horizontal line.

Valerie Seager  
Vice Chair