

NOVA SCOTIA SECURITIES COMMISSION

**RULE 11-507 AMENDMENTS TO THE
FEES SCHEDULES IN 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 TO THE FEES SCHEDULES

- 2.1 Appendix A of the General Securities Rules is amended by revoking Schedule 1 - Fees and Section 1 of Schedule 2 – Prescribed fees and tariff of costs and substituting the following:

Appendix A

Schedule 1- Fees

1. Every application for registration as a dealer, an adviser or an investment fund manager shall be accompanied by a fee of \$679.15.
2. Every firm, regardless of registration category, shall pay a registration maintenance fee of \$679.15. This fee will be paid via the National Registration Database on December 31 and will cover the preceding calendar year.
3. Every application by an individual for registration or re-activation as a dealing representative, an advising representative, an associate representative, an ultimate designated person or a chief compliance officer shall be accompanied by a fee of \$340.15 for each registered firm in which the individual is seeking registration. This fee will be paid via the National Registration Database at the time of the application.
4. Every individual registered as a dealing representative, an advising representative, an associate representative, an ultimate designated person or a chief compliance officer shall pay a registration maintenance fee of \$340.15. This fee will be paid via the National Registration Database on December 31 and will cover the preceding calendar year.
5. Every Form submitted for review by a permitted individual under National Instrument 33-109 *Registration Information* shall be accompanied by a fee of \$27.80. This fee will be paid via the National Registration Database at the time of the submission.

6. Every permitted individual shall pay a maintenance fee of \$27.80. This fee will be paid via the National Registration Database on December 31 and will cover the preceding calendar year.
7. Every application for transfer of registration as a dealing representative, an advising representative, an associate representative, an ultimate designated person or a chief compliance officer shall be accompanied by a fee of \$113.40. This fee will be paid via the National Registration Database at the time of the application.
8. Every application by a firm to open a second or thereafter any additional business locations in Nova Scotia shall be accompanied by a fee of \$113.40 for each location. This fee will be paid via the National Registration Database at the time of the application.
9. Every business location in Nova Scotia shall pay a registration maintenance fee of \$113.40. This fee will be paid via the National Registration Database on December 31 and will cover the preceding calendar year.
10. Every application for amendment of registration as a dealer, an adviser or an investment fund manager shall be submitted by a completed Form 33-109F5 and be accompanied by a fee of \$27.80.
11.
 - (1) Subject to subsection (2), a preliminary prospectus, pro forma prospectus or prospectus supplement (but not pricing) shall be accompanied by a fee of \$962.60 per issuer.
 - (2) Where Nova Scotia is the principal regulator, a fee of \$1416.10 per issuer shall accompany any preliminary prospectus or pro forma prospectus.
 - (3) In addition to any fees payable under subsections (1) and (2), where the issuer of the securities is a natural resource company, \$113.40 shall be paid for each property of the issuer that is the subject of a report filed with the preliminary prospectus or pro forma prospectus.
 - (4) Any annual information form filed under Nova Scotia securities laws shall be accompanied by a fee of \$1359.40.
 - (5) Any pro forma or preliminary simplified prospectus and annual information form shall be accompanied by a fee of \$1359.40 per issuer.
 - (6) Any preliminary or pro forma simplified prospectus and annual information form where Nova Scotia is the principal regulator shall be accompanied by a fee of \$1868.50 per issuer.

12. If a preliminary prospectus or pro forma prospectus involves more than one class of securities or more than one type of unit offering, each additional class of securities or each type of unit offering shall be accompanied by an additional fee of \$340.15.
13. The annual financial statements filed by each issuer under Nova Scotia securities laws shall be accompanied by a fee of \$170.05 except that where the issuer has securities listed and posted for trading on a stock exchange in Canada, the fee is \$283.45.
14. (1) Every amendment to a preliminary prospectus or pro forma prospectus shall be accompanied by a fee of \$113.40 per issuer and \$340.15 for each additional class or series of securities.

(2) Where an amendment to a preliminary prospectus or pro forma prospectus is accompanied by a report upon a property or an amended financial statement, the amendment shall be accompanied by an additional fee of \$170.05 for each property and each financial statement reported upon.
15. Every prospecting syndicate agreement filed shall be accompanied by a fee of \$170.05.
16. Every notice to the Commission under subsection 6(2) of the Act shall be accompanied by a fee of \$56.70.
17. Every application to the Commission under Section 79 of the Act shall be accompanied by a fee of \$510.20.
18. Every application to the Commission or the Director under any provision of Nova Scotia securities laws or any policy statements issued pursuant to Section 19 of the Act not otherwise provided for in this Schedule shall be accompanied by a fee of \$396.80.
19. In addition to the fees payable under Sections 17 and 18, every application to the Commission on an expedited basis shall be accompanied by a fee of \$396.80.
20. Where a statement referred to in Section 147 of the Act is certified for a person or company by the Commission or a member of the Commission or the Director, the fee is \$56.70 plus \$1.10 per page photocopied where the statement includes photocopies of documents required to be made available for public inspection in the offices of the Director or the Commission.
21. Where a decision, document, record or thing is certified by the Commission, Director, Secretary or other authorized official for a person or company, the fee is \$56.70 plus \$1.10 per page photocopied for the purpose of the certificate.
22. The fee for examining material required to be made available for public inspection is \$22.25 per search.

23. The fee for photocopying is \$1.10 per page in addition to the fee of \$22.25 for each search.
24. Every material change report and every report of exempt distribution filed under Nova Scotia securities laws shall be accompanied by a fee of \$27.80.
25. (1) Any share exchange take-over bid circular shall be accompanied by a fee of \$396.80.
(2) Any amendment to a share exchange take-over bid circular shall be accompanied by a fee of \$113.40.
(3) Any directors' circular filed in regard to a share exchange take-over bid shall be accompanied by a fee of \$113.40
26. An offering document, an amendment to an offering document or an application filed under the *Community Economic-Development Corporations Regulations* shall be accompanied by a fee of \$27.80.


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 any investigation of an offence under Nova Scotia securities laws, including time spent in preparing for and attending any trial or hearing before the Commission, the sum of \$56.70 for each person so engaged.

PART 3 - EFFECTIVE DATE

- 3.1 This rule shall take effect, with the approval and specification of the Minister under subsection 150A(4) of the Act, on **April 1, 2013**, 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 is made a rule by the signature of the Chair of the Commission, being the member 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 28th day of March, 2013.



Sarah P. Bradley
Chair