

## **Draft Regulation**

An Act respecting the distribution of financial products and services  
(chapter D-9.2, ss. 225, 226 and 278)

### **Regulation to amend the Regulation respecting fees and contributions payable**

Notice is hereby given by the *Autorité des marchés financiers* (the “Authority”) that, pursuant to 217 of *An Act respecting the distribution of financial products and services*, chapter D-9.2, the following draft Regulation, the text of which is published hereunder, may be made by the Authority and subsequently submitted to the Government for approval, with or without amendment, after 30 days have elapsed since this publication in the Bulletin of the Authority:

- *Regulation to amend the Regulation respecting fees and contributions payable.*

The draft Regulation is also available under “Public consultations” on the website of the Authority at [www.lautorite.qc.ca](http://www.lautorite.qc.ca).

### **REGULATION TO AMEND THE REGULATION RESPECTING FEES AND CONTRIBUTIONS PAYABLE**

#### **PURPOSE OF DRAFT REGULATION**

This draft Regulation, made under sections 225, 226 and 278 of *An Act respecting the distribution of financial products and services*, chapter D-9.2, specifies certain fees under the Act that are currently billed under generic provisions pertaining to the analysis and study of files.

The draft Regulation also repeals certain outdated provisions. No new fees are introduced in this draft Regulation.

#### **Request for comment**

Comments regarding the above draft Regulation may be made in writing before **February 18, 2013**, to:

Me Anne-Marie Beaudoin  
Corporate Secretary  
Autorité des marchés financiers  
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C.P. 246, 22e étage, tour de la Bourse  
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Fax: 514-864-8381  
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Comments will be made public unless otherwise noted.

**Further information**

Further information is available from:

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**January 17, 2013.**

## **REGULATION TO AMEND THE REGULATION RESPECTING FEES AND CONTRIBUTIONS PAYABLE**

An Act respecting the distribution of financial products and services  
(R.S.Q., c. D-9.2, ss. 225, 226 and 278)

**1.** Section 3.1 of the Regulation respecting fees and contributions payable (c. D-9.2, r. 9) is amended by deleting the third paragraph.

**2.** Sections 4 and 5 of the Regulation are repealed.

**3.** Section 6 of the Regulation is amended:

(1) by deleting the word “other” in the first paragraph;

(2) by deleting the second paragraph.

**4.** The Regulation is amended by inserting the following after section 6:

“**6.1** The fees payable for an application for recognition of equivalence of minimum qualifications are \$35.

“**6.2.** The fees payable for an application for recognition of a privately tutored course are \$200.

“**6.3.** The fees payable for an application for recognition of courses referred to in the second paragraph of section 14 of the Regulation respecting the issuance and renewal of representatives’ certificates (c. D-9.2, r. 7) provided by a training body not subsidized by the *Ministère de l’Éducation, du Loisir et du Sport* are \$200.

In the case of an application for recognition of a training program, the fees payable are \$200 for each course corresponding to the competencies evaluated by the examinations prescribed by the Authority and \$100 per hour for an analysis of additional documents.

“**6.4.** The fees payable for an application to analyze the qualifications of a supervisor are \$35.”

**5.** Section 7.1 of the Regulation is repealed.

**6.** Section 10 of the Regulation is replaced by the following:

“**10.** The fees payable for the examinations prescribed by the Authority are:

(1) \$65 to determine eligibility;

(2) \$134 to register for the examinations in each sector;

(3) \$40 for each application to review examination results.”.

**7.** The Regulation is amended by inserting the following after section 10:

“**10.1** The fees payable to postpone an examination prescribed by the Authority are:

(1) \$66 where the application to postpone an examination is received by the Authority at least 5 days preceding the date chosen for the examination session if the examinations are scheduled over a period of 90 days and the postponement date falls within this period;

(2) \$200 if the examinations are scheduled over a period of 90 days and the requested postponement date falls after this period.”

“**10.2** The fees payable to disclose information in writing to a third party with the authorization of a candidate are \$24.

The situations contemplated for such a disclosure are set out in the forms prescribed by the Authority.”.

**8.** Section 11 of the Regulation is amended by inserting after the words “are \$29” the words “and those for the issuance of a probationary certificate are \$29.”.

**9.** Section 12 of the Regulation is replaced by the following:

“**12.** The cost of a training manual sold by the Authority is \$79.

However, the cost of a manual reproducing the legislation applicable to the activities of a representative is \$25.”.

**10.** Sections 13 and 14 of the Regulation are repealed.

**11.** Sections 16 to 19 of the Regulation are repealed.

**12.** Section 20 of the Regulation is replaced by the following:

“**20.** The fees payable for the printing or reproduction by the Authority of prescribed forms are \$1 per form.”.

**13.** Sections 21 and 22 of the Regulation are repealed.

**14.** The Regulation is amended by inserting the following after section 28:

“**28.1** The fees and contributions provided for in this Regulation are non-refundable.”.

**15.** This Regulation comes into force on the fifteenth day following the date of its publication in the *Gazette officielle du Québec*.