

2019 NRD SECURITIES FEE SCHEDULE

NOTE

The fees below are valid solely for 2019 and are subject to change.

IMPORTANT – Please take this notice into account for the entire schedule contained in this document.

Fees payable to the **Autorité des marchés financiers (AMF)** and the **Fonds d'indemnisation des services financiers (FISF)** will be paid by electronic funds transfer (EFT) through your firm's bank account.

Act respecting the distribution of financial products and services

Remember that payment of the contribution to the *Chambre de la sécurité financière* (CSF) is **assumed by the representative**. The representative must make payment to the AMF by cheque, postal money order or credit card. Payment of the CSF contribution must be received by the AMF in order for the submission to be processed. Your firm may wish to pay the CSF contribution on behalf of the representative (and subsequently bill the representative) to accelerate the process. To do so, the firm must use the **Resubmit Fee Payment** function in the NRD system.

I	<u>Firm</u>	AMF fees	CGI Fees (NRD Administrator)
	Initial registration of a firm	Mutual fund dealer	\$56.75
		Scholarship plan dealer	\$56.75
		Investment dealer	\$1,704
		Exempt market dealer	\$1,704
		Restricted dealer	\$1,704
		Portfolio manager	\$1,704
		Restricted portfolio manager	\$1,704
		Investment fund manager	\$1,704

2019 NRD SECURITIES FEE SCHEDULE

	<u>INDIVIDUAL</u>	AMF fees	CGI Fees (NRD Administrator)
1 INITIAL REGISTRATION Or REACTIVATION OF REGISTRATION Use this submission if the individual is applying for registration more than three months after leaving his sponsoring firm.		Representatives	<u>For initial registration</u>
		Mutual fund dealer	In each case:
		Scholarship plan dealer	\$75 in sponsoring firm's principal jurisdiction
		Mutual funds dealer and scholarship plans dealer	
		Investment dealer	<u>For reactivation of registration:</u>
		Exempt market dealer	In each case:
		Restricted dealer	\$75 in sponsoring firm's principal jurisdiction, for initial jurisdiction
		Portfolio manager	and
		Restricted portfolio manager	\$20.50 in sponsoring firm's principal jurisdiction for each additional jurisdiction
		* <u>Add the contribution to the <i>Chambre de la sécurité financière (CSF)</i>. See calculation guidelines in Schedule A.</u>	
		Permitted individuals, chief compliance officers (CCO) and ultimate designated persons (UDP)²	
		Mutual fund dealer (CCO and UDP only)	
		Scholarship plan dealer (CCO and UDP only)	
		Investment dealer	
		Exempt market dealer	
Restricted dealer			
Portfolio manager			
Restricted portfolio manager			
Investment fund manager			
² Amounts are cumulative only if the individual wishes to register in more than one firm category. Example: An individual is seeking to be an Officer and an Administrator for a portfolio manager. The charged amount will be \$425. However, if this individual wants to be registered as an Officer and an Administrator for a portfolio manager AND a restricted dealer, the fees will be \$425 + \$341, for a total of \$766. If the same person applies as a UDP and a CCO, only one fee should be charged.			

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	<u>INDIVIDUAL</u>	AMF fees	CGI Fees (NRD Administrator)																																
2	REGISTRATION IN ADDITIONAL JURISDICTION Individual wants to add Québec to his registration IMPORTANT: If the individual is already registered in Québec and wants to be registered in another jurisdiction, the new jurisdiction's fees apply, not the AMF fees.	Representatives <table border="1"> <tr> <td>Mutual fund dealer</td> <td>\$376*</td> </tr> <tr> <td>Scholarship plan dealer</td> <td>\$316*</td> </tr> <tr> <td>Mutual funds dealer and scholarship plans dealer</td> <td>\$617*</td> </tr> <tr> <td>Investment dealer</td> <td>IIROC fees (www.iiroc.ca) + \$171</td> </tr> <tr> <td>Exempt market dealer</td> <td>\$341</td> </tr> <tr> <td>Restricted dealer</td> <td>\$341</td> </tr> <tr> <td>Portfolio manager</td> <td>\$425</td> </tr> <tr> <td>Restricted portfolio manager</td> <td>\$425</td> </tr> </table> <p>* <u>Add the contribution to the <i>Chambre de la sécurité financière</i> (CSF) if the individual is not already registered as a MFD or SPD in Québec. See calculation guidelines in Schedule A.</u></p> Chief compliance officers (CCO) and ultimate designated persons (UDP) <table border="1"> <tr> <td>Mutual fund dealer</td> <td>\$216</td> </tr> <tr> <td>Scholarship plan dealer</td> <td>\$216</td> </tr> <tr> <td>Investment dealer</td> <td>\$425</td> </tr> <tr> <td>Exempt market dealer</td> <td>\$341</td> </tr> <tr> <td>Restricted dealer</td> <td>\$341</td> </tr> <tr> <td>Portfolio manager</td> <td>\$425</td> </tr> <tr> <td>Restricted portfolio manager</td> <td>\$425</td> </tr> <tr> <td>Investment fund manager</td> <td>\$425</td> </tr> </table> <p>If the same person applies as UDP and CCO, only one fee should be charged.</p>	Mutual fund dealer	\$376*	Scholarship plan dealer	\$316*	Mutual funds dealer and scholarship plans dealer	\$617*	Investment dealer	IIROC fees (www.iiroc.ca) + \$171	Exempt market dealer	\$341	Restricted dealer	\$341	Portfolio manager	\$425	Restricted portfolio manager	\$425	Mutual fund dealer	\$216	Scholarship plan dealer	\$216	Investment dealer	\$425	Exempt market dealer	\$341	Restricted dealer	\$341	Portfolio manager	\$425	Restricted portfolio manager	\$425	Investment fund manager	\$425	In each case: \$20.50 in sponsoring firm's principal jurisdiction for each additional jurisdiction
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2019 NRD SECURITIES FEE SCHEDULE

	<u>INDIVIDUAL</u>	Autorité des marchés financiers fees	CGI Fees (NRD Administrator)
3	REGISTRATION WITH ADDITIONAL SPONSORING FIRM Or CHANGE OR SURRENDER OF INDIVIDUAL CATEGORIES	Representatives Mutual fund dealer \$376* Scholarship plan dealer \$316* Mutual fund dealer and scholarship plan dealer \$617* Investment dealer IIROC fees (www.iroc.ca) + \$171 Exempt market dealer \$341 Restricted dealer \$341 Portfolio manager \$425 Restricted portfolio manager \$425 <u>* If the individual was not previously registered as a dealing representative of a mutual fund dealer or a scholarship plan dealer, add the contribution to the <i>Chambre de la sécurité financière</i> (CSF). See calculation guidelines in Schedule A.</u> Permitted individuals¹, chief compliance officers (CCO) and ultimate designated persons (UDP) Mutual fund dealer (CCO and UDP only) \$216 Scholarship plan dealer (CCO and UDP only) \$216 Investment dealer \$425 Restricted dealer \$341 Exempt market dealer \$341 Portfolio manager \$425 Restricted portfolio manager \$425 Investment fund manager \$425 ¹ For officers, directors, partners and shareholders, these fees must be paid to the AMF only when Québec is the PR of the person seeking to be a permitted individual.	

2019 NRD SECURITIES FEE SCHEDULE

	<u>INDIVIDUAL</u>	AMF fees	CGI Fees (NRD Administrator)
4	REINSTATEMENT OF REGISTRATION Use the reinstatement submission: (a) if the individual is applying for registration within three months of leaving his last sponsoring firm and (b) there have been no changes to the information previously submitted in respect of items 13 to 16 of Form 33-109F4 and (c) the individual has not resigned for cause or was not dismissed for cause by his former sponsoring firm.	\$56.75 for: - Exempt market dealer (dealing representative) - Restricted dealer (dealing representative) - Portfolio manager (Advising representative or Associate advising representative) - Restricted portfolio manager (Advising representative or Associate advising representative)	\$0
5	APPLY FOR AN EXEMPTION Note: No electronic funds transfer (EFT) is possible for this submission. To pay the fees, the firm must use the Resubmit Fee Payment function in the NRD system.	• \$568	\$0
IV	Type of submission (Notice) <u>Individual</u>	AMF fees	CGI Fees (NRD Administrator)
1	Notice of termination	\$0	\$0
2	Changes to items 1, 2, 3, 4, 7, 8, 9, 10, 13, 14, 15 and 16 of Form 33-109F4	\$0 (for item 1, a \$39 fee applies when the representative holds a licence issued by the AMF in one or more sectors governed under <i>An Act respecting the distribution of financial products and services</i>)	\$0
3	Related securities firms change (item 17 of Form 33-109F4)	\$568 (see section 228(4) of the Securities Regulation \$0 for a dealing representative of a mutual fund dealer or a scholarship plan dealer	\$0

2019 NRD SECURITIES FEE SCHEDULE

Please complete the attached account statement by entering the appropriate amounts regarding the contribution to the *Chambre de la sécurité financière* and mail the statement, along with your payment, to the Autorité des marchés financiers at the address at the bottom of the next page (only if the representative is making the payment):

ACCOUNT STATEMENT

SUPPORTING DOCUMENTS AND SECURITIES FEES RELATED TO NRD SUBMISSIONS FOR 2019

A. Supporting documents

Certain submission types or sections of submissions may require supporting documents. In particular, these documents may be essential for a securities authority or regulatory agency to make a decision with respect to submissions filed through NRD. Include the **information** below for each supporting document and send the entire submission, along with your **payment**, to the AMF within **five business days** of sending the pertinent NRD submission.

1. NRD submission number
2. NRD number of the individual (and AMF certificate number, if he or she is already registered in an insurance sector)
3. Full legal name of the individual
4. NRD number of the sponsoring firm
5. Full legal name of the sponsoring firm
6. Reference to the supporting document being submitted
7. Signature of an authorized firm representative, branch manager or partner, director or officer of the firm

ACCOUNT STATEMENT

SUPPORTING DOCUMENTS AND SECURITIES FEES RELATED TO NRD SUBMISSIONS FOR 2019 (cont.)

B. Fees related to NRD submissions

Please enter the appropriate amounts based on the submission.

Remember that payment of the contribution to the *Chambre de la sécurité financière* (CSF) **is assumed by the representative**. The representative must make payment to the **AMF** by cheque, postal money order or credit card. **Payment of the CSF contribution must be received by the AMF in order for the submission to be processed.**

Your firm may wish to pay contribution on behalf of the representative (and subsequently bill the representative) to accelerate the process. To do so, the firm must use the **Resubmit Fee Payment** function in the NRD system.

NRD Submission	Amount
Contribution to <i>Chambre de la sécurité financière</i> (CSF) \$ _____	

Please complete the attached account statement by entering the appropriate amounts regarding the contribution to the *Chambre de la sécurité financière* and mail your statement along with your payment to the *Autorité des marchés financiers* at the following address:

Autorité des marchés financiers
Place de la Cité, tour Cominar
2640, boulevard Laurier, 3^e étage
Québec (Québec) G1V 5C1

Schedule A

**Calculation Grid for Contribution to *Chambre de la sécurité financière*
for representatives pursuing activities only in the securities sector
2019**

Refer to this grid when making a registration submission to the **National Registration Database** with respect to an individual who is not yet registered with the *Autorité des marchés financiers*.

Instructions

For 2019, the contribution to the *Chambre de la sécurité financière* is **\$320.00** per year (12 months) plus taxes, or **\$367.92**

Month when making NRD submission									
January	February	March	April	May	June	July	August	September	October, November or December
\$367.92	\$337.26	\$306.60	\$275.94	\$245.28	\$214.62	\$183.96	\$153.30	\$122.64	\$91.98