

chapter D-9.2, r. 9

Regulation respecting fees and contributions payable

O.C. 836-99; O.C. 1185-2005, s. 1

An Act respecting the distribution of financial products and services

(chapter D-9.2, ss. 203, 225 and 226)



The duties and fees prescribed in the Regulation have been indexed as of 1 January 2019 pursuant to the notice published in Part 1 (French) of the Gazette officielle du Québec of 29 December 2018, page 850. (ss. 1, 2, 3, 6, 6.1, 6.2, 6.3, 6.4, 7, 8, 9, 10, 10.1, 10.2, 11, 12, 15, 20)

DIVISION I ANNUAL FEES

1. The fees payable for the issuance renewal of a representative's certificate are \$94 for each sector or sector class in which a representative is authorized to act.

Where a representative is authorized to act in the sector of mortgage brokerage, he must pay an additional fee of \$250 for the issuance of his certificate and an additional annual fee of \$250 for its renewal."

O.C. 836-99, s. 1.

2. The fees payable to register as a firm or an independent partnership with the Autorité des marchés financiers and to maintain such registration annually are \$94 per sector for each representative through which the firm or independent partnership pursues or intends to pursue activities.

O.C. 836-99, s. 2; O.C. 1204-2004, s. 3.

3. The fees payable to register as an independent representative with the Authority and to maintain such registration annually are \$94 per sector or sector class in which the representative is authorized to act.

O.C. 836-99, s. 3; O.C. 1204-2004, s. 3.

DIVISION I.1

CONTRIBUTION TO THE FONDS D'INDEMNISATION DES SERVICES FINANCIERS

O.C. 1185-2005, s. 2.

3.1. The contribution to be paid by an independent representative and by a firm or an independent partnership to the Fonds d'indemnisation des services financiers for each representative through whom the firm or the independent partnership pursues or intends to pursue its activities is, for each sector in which the representative is authorized to pursue activities,

(1) \$160 for each of the damage insurance, the insurance of persons and the group savings plan brokerage sectors; and

(2) \$100 for the other sectors.

If a representative operates in more than one sector, the contribution is discounted by \$75 for each additional sector.

O.C. 1185-2005, s. 2; O.C. 1099-2007, s. 1; O.C. 896-2013, s. 1.

DIVISION II

OTHER FEES PAYABLE

4. *(Repealed).*

O.C. 836-99, s. 4; O.C. 896-2013, s. 2.

5. *(Repealed).*

O.C. 836-99, s. 5; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 2.

6. The fees payable for any file examination of a candidate are \$38 and \$39 for a representative.

O.C. 836-99, s. 6; O.C. 896-2013, s. 3.

6.1. The fees payable for an application for recognition of equivalence of minimum qualifications are \$38.

O.C. 896-2013, s. 4.

6.2. The fees payable for an application for recognition of a privately tutored course are \$219.

O.C. 896-2013, s. 4.

6.3. The fees payable for an application for recognition of courses referred to in the second paragraph ~~of section 14~~ [of section 14 or 16.1](#) of the Regulation respecting the issuance and renewal of representatives' certificates (chapter D-9.2, r. 7) provided by a training body not subsidized by the Ministère de l'Éducation, du Loisir et du Sport are \$219.

In the case of an application for recognition of a training program, the fees payable are \$219 for each course corresponding to the competencies evaluated by the examinations prescribed by the Authority and \$109 per hour for an analysis of additional documents.

O.C. 896-2013, s. 4.

6.4. The fees payable for an application to analyze the qualifications of a supervisor are \$38.

O.C. 896-2013, s. 4.

7. The fees for any other file examination that are payable by a firm, an independent representative or an independent partnership are \$52.

O.C. 836-99, s. 7.

7.1. *(Repealed).*

O.C. 1185-2005, s. 3; O.C. 896-2013, s. 5.

7.2. [The fees for an administrative task performed by the Authority in connection with a formality or measure specified in the Act or any of its regulations where the fees for the task are not already specified in this Regulation are \\$38 when the task pertains to a representative and \\$52 when it pertains to a firm, an independent representative or an independent partnership.](#)

8. The fees payable for the reprinting of a certificate are \$44.

O.C. 836-99, s. 8.

9. The fees payable for an official attestation of the issuance of a certificate or of registration are \$87.

O.C. 836-99, s. 9.

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

- (1) \$73 to determine eligibility;
- (2) \$146 to register for the examinations in each sector;
- (3) \$44 for each application to review examination results.

O.C. 836-99, s. 10; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 6.

10.1. The fees payable to postpone an examination prescribed by the Authority are \$73 where the application to postpone an examination is received by the Authority at least 5 working 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;

O.C. 896-2013, s. 7.

10.2. The fees payable to disclose information in writing to a third party with the authorization of a candidate are \$25.

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

O.C. 896-2013, s. 7.

11. The fees for issuance of a training attestation are \$31 and those for the issuance of a probationary certificate are \$31.

O.C. 836-99, s. 11; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 8.

12. The cost of a training manual sold by the Authority is \$87.

However, the cost of a manual reproducing the legislation applicable to the activities of a representative is \$27.

O.C. 836-99, s. 12; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 9.

13. *(Repealed).*

O.C. 836-99, s. 13; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 10.

14. *(Repealed).*

O.C. 836-99, s. 14; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 10.

15. The fee charged for an “NSF” cheque is \$38.

O.C. 836-99, s. 15.

16. *(Repealed).*

O.C. 836-99, s. 16; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 11.

17. *(Repealed).*

O.C. 836-99, s. 17; O.C. 896-2013, s. 11.

18. *(Repealed).*

O.C. 836-99, s. 18; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 11.

19. *(Repealed).*

O.C. 836-99, s. 19; O.C. 1185-2005, s. 4; O.C. 896-2013, s. 11.

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

O.C. 836-99, s. 20; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 12.

21. *(Repealed).*

O.C. 836-99, s. 21; O.C. 896-2013, s. 13.

22. *(Repealed).*

O.C. 836-99, s. 22; O.C. 1204-2004, s. 3; O.C. 896-2013, s. 13.

DIVISION II.1

FEES PAYABLE FOR THE COMPULSORY PROFESSIONAL DEVELOPMENT OF MORTGAGE BROKERS

22.1. The fees for an application for recognition referred to in the Regulation respecting the compulsory professional development of mortgage brokers (*indiquer ici la référence au règlement*), including an application for recognition as a provider of professional development activities or an application for recognition of a training activity, are \$219.

22.2. The fees for any modification or renewal relating to a recognition contemplated in the Regulation respecting the compulsory professional development of mortgage brokers (*indiquer ici la référence au règlement*) are \$109.

DIVISION III INDEXATION

23. Annual fees and other fees payable are adjusted annually on 1 January of each year in accordance with the rate of increase of the general consumer price index for Canada for the period ending on 30 September of the preceding year, as determined by Statistics Canada. They are rounded down to the nearest dollar if they include a fraction of a dollar lower than \$0.50 and rounded up to the nearest dollar if they include a fraction of a dollar that is equal to or greater than \$0.50.

The result of the annual indexation is published yearly in Part 1 of the *Gazette officielle du Québec* and in the Bulletin referred to in section 193 of the Act.

O.C. 836-99, s. 23.

DIVISION IV FINAL AND TRANSITIONAL PROVISIONS

24. *(Revoked).*

O.C. 836-99, s. 24; O.C. 1204-2004, s. 1; O.C. 1099-2007, s. 2.

25. *(Revoked).*

O.C. 836-99, s. 25; O.C. 1204-2004, s. 2; O.C. 1099-2007, s. 2.

26. *(Revoked).*

O.C. 836-99, s. 26; O.C. 1204-2004, s. 4.

27. *(Revoked).*

O.C. 836-99, s. 27; O.C. 1204-2004, s. 4.

28. *(Revoked).*

O.C. 836-99, s. 28; O.C. 1204-2004, s. 4.

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

O.C. 896-2013, s. 14.

29. *(Omitted).*

O.C. 836-99, s. 29.