

- (4) The fees prescribed for an examination made pursuant to Section 29E of the Act and the tariff of costs for the purpose of Section 135A of the Act are as set forth in Schedule 2 of the Appendix.

Original Section 182 renumbered Section 206; Section 206(4) added: O.I.C. 91-815, N.S. Reg. 157/91.

Appendix A
Schedule 1 - Fees

- 1 Every application for registration or renewal of registration as an underwriter or a dealer, other than a security issuer, or an advisor or any combination of any of them shall be accompanied by a fee of \$600.
- 2 Every applicant for registration or renewal of registration as a security issuer shall be accompanied by a fee of \$400.
- 3 Every application by an individual for registration or renewal of registration as a salesman of a registered dealer or as a partner or officer of a registered dealer or a partner or officer of a registered advisor shall be accompanied by a fee of \$300 but there shall be no fee for any amendment to such registration.
- 4 Every application by an individual for registration or renewal of registration as an advisor shall be accompanied by a fee of \$600.
- 5 Every application for reinstatement or transfer of registration as a salesman or as a partner or officer of a registered dealer shall be accompanied by a fee of \$100.
- 6 Every application by a person or company for registration or renewal of registration as a dealer, advisor or underwriter shall be accompanied by an additional fee of \$100 for each branch office in Nova Scotia at the date of the application of the person or company.
- 7 Every application for amendment of registration as a dealer, advisor or underwriter shall be accompanied by a fee of \$100.

Appendix 1, Schedule 1, Section 7 amended: O.I.C. 96-173, N.S. Reg. 51/96.

- 8 (1) Subject to subsection (2), a preliminary prospectus, pro forma prospectus or statement of material facts as the case may be, shall be accompanied by a fee of \$850 per issuer.

Appendix 1, Schedule 1, subsection 8(1) amended: O.I.C. 96-173, N.S. Reg. 51/96.

- (2) Where Nova Scotia is the principal jurisdiction, a fee of \$1250 per issuer shall accompany any preliminary prospectus or pro forma prospectus.

Appendix 1, Schedule 1, subsection 8(2) amended: O.I.C. 96-173, N.S. Reg. 51/96.

- (3) Any Offering Memorandum filed under the Act or regulations with respect to a specified securities issue under the Nova Scotia Stock Savings Plan Act, shall be accompanied by a fee of \$1,250.

- (4) In addition to any fees payable under subsections (1), (2) and (3), where the

issuer of the securities is a natural resource company, \$100 shall be paid for each property of the issuer that is the subject of a report filed with the preliminary prospectus, pro forma prospectus or a statement of material facts, as the case may be.

- (5) Any annual information form filed under the provisions of National Policy 47 shall be accompanied by a fee of \$1200.

Appendix 1, Schedule 1, subsection 8(5) added: O.I.C. 96-173, N.S. Reg. 51/96.

- (6) Any pro forma or preliminary simplified prospectus and annual information form shall be accompanied by a fee of \$1200 per issuer.

Appendix 1, Schedule 1, subsection 8(6) added: O.I.C. 96-173, N.S. Reg. 51/96.

- (7) Any preliminary or pro forma simplified prospectus and annual information form where Nova Scotia is the principal jurisdiction shall be accompanied by a fee of \$1650 per issuer.

Appendix 1, Schedule 1, subsection 8(7) added: O.I.C. 96-173, N.S. Reg. 51/96.

- 9 If a preliminary prospectus, pro forma prospectus or statement of material facts 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 \$300.

- 10 The annual financial statements filed by each issuer under Section 84 of the Act shall be accompanied by a fee of \$150 except that where the issuer has securities listed and posted for trading on a stock exchange in Canada, the fee is \$250.

- 11 (1) Every amendment to a preliminary prospectus, pro forma prospectus or statement of material facts shall be accompanied by a fee of \$100 per issuer.

Appendix 1, Schedule 1, subsection 11(1) amended: O.I.C. 96-173, N.S. Reg. 51/96.

- (2) Where an amendment to a preliminary prospectus, pro forma prospectus or statement of material facts is accompanied by a report upon a property or an amended financial statement, the amendment shall be accompanied by an additional fee of \$150 for each property and each financial statement reported upon.

- 12 Every application for recognition as an exempt purchaser or renewal of recognition as an exempt purchaser shall be accompanied by a fee of \$250.

- 13 Every prospecting syndicate agreement filed shall be accompanied by a fee of \$150.

Appendix 1, Schedule 1, Section 14 repealed: O.I.C. 91-815, N.S. Reg. 157/91.

- 15 Every notice to the Commission under subsection (2) of Section 25 of the Act shall be accompanied by a fee of \$50.

- 16 (1) Every application to the Commission under Section 79 of the Act shall be accompanied by a fee of \$450.

- (2) Every application to the Commission under Section 79 of the Act shall be accompanied by a fee of \$450 for each supplementary application that it includes.

- 17** (1) Subject to subsection (2), every application to the Commission under Section 86 or 128 of the Act shall be accompanied by a fee of \$350.
- (2) There shall be no fee for an application to the Commission by an inactive reporting issuer for an order under subclause (iii) of clause (b) of Section 86 of the Act.

18 Every application to the Commission or the Director under any Section of the Act or these regulations or any policy statements, or rules issued pursuant to Section 19 of the Act not otherwise provided for in this Schedule shall be accompanied by a fee of \$350.

Appendix 1, Schedule 1, Section 18 amended: O.I.C. 96-173, N.S. Reg. 51/96.

18A In addition to the fees payable under Sections 16, 17, and 18, every application to the Commission on an expedited basis shall be accompanied by a fee of \$350.

Appendix 1, Schedule 1, Section 18A added: O.I.C. 96-173, N.S. Reg. 51/96.

19 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 \$50 plus \$1 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.

20 Where a decision, document, record or thing is certified by the Commission, Director, Secretary or other authorized official thereof for a person or company, the fee is \$50 plus \$1 per page photocopied for the purpose of the certificate.

21 The fee for examining material required to be made available for public inspection is \$20 per search.

Appendix 1, Schedule 1, Section 21 amended: O.I.C. 96-173, N.S. Reg. 51/96.

22 The fee for photocopying is \$1 per page with a minimum fee of \$2 for each search.

23 Every document filed under the Act or these regulations, other than a document referred to in

- (a) this Schedule;
- (b) Sections 81 through 128, except subsection 81(2), of the Act; or
- (c) any provision of these regulations relating to the Sections of the Act referred to in clause (b)

shall be accompanied by a fee of \$25.

Appendix 1, Schedule 1, clause 23(b) amended: O.I.C. 96-173, N.S. Reg. 51/96.

24 (1) Any share exchange take-over bid circular shall be accompanied by a fee of \$350.

(2) Any amendment to a share exchange take-over bid shall be accompanied by a fee of \$100.

- (3) Any directors' circular filed in regard to a share exchange take-over bid shall be accompanied by a fee of \$100.

Appendix 1, Schedule 1, Section 24 added: O.I.C. 96-173, N.S. Reg. 51/96.

Appendix 1, Schedule 1 replaced: O.I.C. 90-557, N.S. Reg. 131/90.

Schedule 2 - Prescribed fees and tariff of costs

- 1** For each hour during which the Director or any Deputy Director or any lawyer, investigator or accountant employed by the Commission is engaged in any investigation of an offence under the Act, including time spent in preparing for and attending any trial or hearing before the Commission, the sum of \$50 for each person so engaged.
- 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 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 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.

Schedule 2 added: O.I.C. 91-815, N.S. Reg. 157/91.