

INVESTMENT INDUSTRY REGULATORY ORGANIZATION OF CANADA
New Member Applicant Fee Guidelines for FY2012

FIRM NAME

[Redacted Firm Name]

1) **ENTRANCE FEE CALCULATION**

\$25,000

2) **CALCULATION OF ANNUAL FEES**

TGR	Total Gross Revenue [MFR E, Line 17]	[Redacted]
C	Total Fin Stat Capital [MFR B, Line 1]	[Redacted]
RAC	Risk Adjusted Capital [MFR B, Line 27]	[Redacted]
REGI	Individual Registrants	[Redacted]
		3/31/2012
		No
		No

Number of registered individuals based on U-I-2000 submitted for registration approval
Date of membership -MM/DD/YYYY
Fiscal year end date
Qualifies for "1/2" proration?
Qualifies for "1/4" proration?

TO CALCULATE REVENUE COMPONENT (RC)

(TGR x 0.0023236517) = RC
 (\$0 x 0.23%) = **\$0**

Note : Revenue Component must not be less than \$4,000.

What pro-ration factor is applied

Pro-rated Minimum Revenue Component **\$4,000**

Calculated Revenue Component **\$4,000**

TO CALCULATE CAPITAL COMPONENT (CC)

((C) - 25% RAC) x 0.002 = CC
 ((\$0) - 25% x \$0) x 0.002 = **\$1,000**

Note: Capital Component must not be less than \$1,000 nor greater than \$15,000.

What pro-ration factor is applied

Pro-rated Calculated Capital Component **\$0**

Pro-rated Minimum Capital Component **\$1,000**

Pro-rated Maximum Capital Component **\$15,000**

Calculated Capital Component **\$1,000**

TO CALCULATE REGISTERED INDIVIDUAL FEES (RI)

(REGI x \$250) = RI
 (0 x \$250) = **\$0**

What pro-ration factor is applied

Pro-rated Calculated Registered Individual Component **\$0**

ANNUAL FEES = RC+CC+RI

(\$4,000 + \$1,000 + \$0) = **\$5,000**

Note: There is a minimum Overall Annual Fee of \$15,000

Overall Annual Minimum fee **\$15,000**

Subject to pro-ration for New Members

What pro-ration factor is applied

Pro-rated Overall Annual Minimum Fee **\$15,000**

TOTAL ANNUAL FEE **\$15,000**

4) **RESTRICTED FUND**

RESTRICTED FUND FEE= (C) *.005

(\$0) *.005 = **\$1,000**

Note: RF must not be less than \$1,000 nor greater than \$40,000

8/15/2011