

This Guide is available for downloading in both English and French, from the Registration Guide section of IIROC's web site (www.iiroc.ca). Please also refer to the instructions in the *Guide to Retained and Supporting Documents* available on the Registration Guide section of IIROC's web site.

| | |
|--|-----------|
| 1. Registration Category Selections..... | 2 |
| 2. Other Registration Categories | 3 |
| 3. IIROC Approval Category selections | 4 |
| 3.1 IIROC Approval Categories..... | 5 |
| 3.2 Products | 7 |
| 3.3 Customer Type..... | 7 |
| 4. Proficiency Requirements | 8 |
| 5. Changes or surrender of categories | 9 |
| 5.1 When to file the 33-109F2 as an Application | 9 |
| 5.2 When to file the 33-109F2 as a Notice..... | 9 |
| 6. Filing under the Passport System | 10 |
| What is a Passport application?..... | 10 |
| B. What is not a Passport application?..... | 10 |
| 7. Registration Fees | 11 |
| Initial Type Submission Fees (<i>Initial, Reactivation, Add Sponsoring Firm, Add Jurisdiction</i>):... | 11 |
| Surrender / Termination Fees (Manitoba & Quebec Only) | 12 |
| Change of Category Fees | 13 |
| Reinstatement Submission Fees: | 24 |

1. REGISTRATION CATEGORY SELECTIONS

Screen Shot:

| |
|---|
| Permitted Individuals |
| <input type="checkbox"/> Officer |
| <input type="checkbox"/> Director |
| <input type="checkbox"/> Partner |
| <input type="checkbox"/> Shareholder |
| Ultimate Designated Person |
| <input type="checkbox"/> Ultimate Designated Person |
| Investment Dealer |
| <input type="checkbox"/> Dealing Representative |
| <input type="checkbox"/> Chief Compliance Officer |
| <input type="checkbox"/> IIROC approval only |

- At least one category must be selected.

| | |
|---|---|
| <p>Officer, Director, Partner, Shareholder</p> | <p>These categories refer to “Permitted Individuals” as defined under NI 33-109 and is restricted to:</p> <p>(a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or who performs the functional equivalent of any of those positions, and</p> <p>(b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm;</p> |
| <p>“IIROC approval only”</p> | <p>Use the selection of “IIROC approval only”, for Executives or Supervisors who are not also Officers, Directors, Partners, Chief Compliance Officers, Ultimate Designated Persons or Dealing Representatives.</p> |

2. OTHER REGISTRATION CATEGORIES

If the individual trades futures in Manitoba or Ontario or trades futures and/or options in Quebec, individual registration category selections are required.

Manitoba

Dealer (Futures Commission Merchant)

- Salesperson
- Non-trading
- Branch Manager
- Officer
- Partner
- Futures Contracts Portfolio Manager
- Associate Futures Contracts Portfolio Manager

Ontario

Futures Commission Merchant

- Salesperson
- IIROC approval only

Quebec

Derivatives Dealer

- Derivatives

3. IIROC APPROVAL CATEGORY SELECTIONS

Screen Shot:

Investment Industry Regulatory Organization of Canada

Refer to the Guide to IIROC Categories for assistance.

Approval categories

- Executive
- Director (Non-Industry)
- Supervisor
- Investor
- Registered Representative
- Investment Representative
- Trader
- Director (Industry)

Additional approval categories

- Chief Compliance Officer
- Chief Financial Officer
- Ultimate Designated Person

Products

- Non-Trading
- Securities
- Options
- Futures Contracts and Futures Contract Options
- Mutual Funds only

Customer type

- Retail
- Institutional
- Not Applicable

Portfolio management

- Portfolio Management

3.1 IIROC APPROVAL CATEGORIES

- At least one Approval Category must be selected:

| | |
|--------------------------------|---|
| Executive | Approved to participate in the executive management of a Dealer Member |
| Director (Non-Industry) | Approved to sit on the Board of Directors of a Dealer Member or occupy a similar position in a Dealer Member not organized as a corporation. |
| Supervisor | <p>Approved to supervise the business activities of other approved persons. The “Current Employment” field (Item 10) must identify the type of supervision to be conducted by the applicant, which may be one or more of the following:</p> <ul style="list-style-type: none"> • Supervisor of Approved Persons. Current Employment disclosure must also identify <ul style="list-style-type: none"> ○ the type of approved persons under supervision (RRs and/or IRs), ○ the type of product, (securities, futures , options or portfolio management) ○ type of client (retail and/or institutional) • the Supervisor designated to be responsible for the opening of new accounts and the supervision of account activity under Rule 1300.2 • the Supervisor designated to be responsible for the supervision of discretionary accounts under Rule 1300.4 • the Supervisor designated to be responsible for the supervision of managed accounts under Rule 1300.15 • the Supervisor designated to be responsible for the supervision of options accounts under Rule 1900.2(a) • the Supervisor designated to be responsible for the supervision of futures contract accounts under Rule 1800.2 • the Supervisor or Supervisors designated to pre-approve advertising, sales literature and correspondence, including research reports, under Rule 29.7(3) and Rule 3400, Guideline 7 |

| | |
|-----------------------------------|---|
| Investor | An individual who controls 10% or more of the voting shares of a Dealer. See Rule 5. |
| Registered Representative | Approved to give investment advice |
| Investment Representative | Approved to take unsolicited Orders |
| Trader | Approved to enter orders into the trading systems of specific exchange Traders; are not permitted to advise clients. “Dealer Representative” should also be selected as the Registration Category. |
| Director (Industry) | Approved to sit on the Board of Directors of a Dealer Member or occupy a similar position in a Dealer Member not organized as a corporation and meet the criteria proposed in Rule 7.3(a)(1) |
| ADDITIONAL APPROVAL CATEGORIES | |
| Chief Compliance Officer | Approved to be responsible for ensuring that the Dealer Member has systems and controls reasonably designed to ensure its compliance with laws and regulations, including the Rules, governing its business conduct. See Rule 38.7 The Executive category must also be selected. |
| Chief Financial Officer | Approved to be responsible for ensuring that the Dealer Member complies with the financial adequacy requirements of the Rules. See Rule 38.6 The Executive category must also be selected. |
| Ultimate Designated Person | The Chief Executive Officer of a Dealer Member or person in a similar position, approved to have overall responsibility for the Dealer Member’s compliance with laws and regulations, including the Rules, governing its securities-related activities; See Rule 38.5 The Executive category must also be selected. |

3.2 PRODUCTS

- At least one Product type must be selected to identify the type of financial instrument in which the Registered Representative or Investment Representative with deal [ref Rule 18.2(b)(ii) and (iii)]
- A product may be selected only if the individual has completed the proficiencies required to trade in the product and have also selected the category of **Registered Representative, Investment Representative** or **Trader**.
- Individuals applying in the Supervisor category who have completed the proficiency requirements to supervise trading activity in a product but have not completed the proficiencies of a Registered Representative or Investment Representative must select **“Non-Trading”**.

3.3 CUSTOMER TYPE

- Only one Customer Type may be selected.
- Individuals approved for retail clients may also deal with Institutional clients
- Individuals approved for institutional clients may not deal with retail clients unless the additional proficiency requirements are met
- Individuals as “Non-Trading” must select the Customer type of **“Not Applicable”**

4. PROFICIENCY REQUIREMENTS

- Dealer Members must ensure applicants have completed the required courses within the mandated time periods, before the application is submitted to IIROC.
- Please refer to Rule 2900, Part I of the IIROC Rule book for the proficiency requirements for all categories.
- Please refer to Rule 2900, Part II of the IIROC Rule book for the time limits and alternatives for the standard proficiency requirements.

5. CHANGES OR SURRENDER OF CATEGORIES

The *33-109F2 Change or Surrender of Individual Categories* ("F2") must be filed as an Application or as a Notice depending on the situation:

5.1 WHEN TO FILE THE 33-109F2 AS AN APPLICATION

- The F2 must be filed as an Application for any changes involving a Registration or Approval Category.
- **Futures Contracts and Futures Contract Options:** The F2 must be filed as an Application for individuals seeking licensing for futures in Ontario and Manitoba, the futures legislation in these provinces does not permit automatic approvals.
- IIROC approval is required before the individual can begin functioning in the new category.

5.2 WHEN TO FILE THE 33-109F2 AS A NOTICE

- The F2 must be filed as a Notice for changes to any of the following:
 - Non-Trading
 - Securities
 - Options
 - Mutual Fund only
 - Futures Contracts and Futures Contract Options (other than in Ontario and Manitoba)
 - Portfolio Management
 - Client type
- A proficiency update must also be submitted to evidence the individual has completed the required courses in the time periods
- IIROC approval is not required for these changes.

6. FILING UNDER THE PASSPORT SYSTEM

WHAT IS A PASSPORT APPLICATION?

- An application can be accepted as a Passport submission if it meets all the following criteria:

(1) Involves changes to Registration categories (adding or surrendering)

The Registration categories are defined in NI 31-103, 2.1 and are:

- Dealing Representative
- Ultimate Designated Person (not the IIROC-level category by the same name)
- Chief Compliance Officer (not the IIROC-level category by the same name)

(2) If the submission involves surrendering a registration category, the surrender must include be in the Principal Jurisdiction ("PJ"). Surrenders of categories in the non-Principal Jurisdictions ("NPJ") only, where the category will continue in the PJ, cannot be filed under passport [Ref 4A.9, CP 11-102].

(3) If the submission is a Notice of Termination, the individual must have been in a registration category (see (1))

(4) A submission involving change to IIROC Approval categories or Business or Product types if the submission also requests a change to the Registration category.

B. WHAT IS NOT A PASSPORT APPLICATION?

(1) The submission cannot be accepted as a Passport submission if the submission is only to change (add or surrender) a Permitted Individual category [ref 4A.1 of CP 11-102]

The Permitted Individual categories are defined are:

- Officer
- Director
- Partner
- Shareholder

(2) A submission involving only a change to Business or Product types.

7. REGISTRATION FEES

Fees apply to all initial individual submissions, reactivation of registration, registration with an additional sponsoring firm, registration in an additional jurisdiction and in some jurisdictions, surrenders and reinstatements. In certain jurisdictions, certain circumstances will also trigger a fee for a change of category Submission.

An IIROC fee of \$20 for new applications is charged in all provinces except British Columbia, Alberta, Saskatchewan and Ontario.

An IIROC fee of \$10 for changes of approval is charged in all provinces except British Columbia, Alberta, Saskatchewan and Ontario.

INITIAL TYPE SUBMISSION FEES (*Initial, Reactivation, Add Sponsoring Firm, Add Jurisdiction*):

| Province | IIROC Fee | Securities Commission Fee |
|-----------------------|--|---|
| Alberta | \$60 | \$240 – if Trading |
| British Columbia | \$25 | \$225 - if Trading |
| Manitoba | \$20 for MB residents | \$300 - if Trading under the MB Securities Act \$300 under the Commodities Futures Act |
| New Brunswick | \$20 for NB residents | \$300 - if Trading |
| Newfoundland | \$20 for NL residents | \$250 – if Trading \$25 – if Non-Trading |
| Nova Scotia | \$20 for NS residents | \$321.48– if Trading \$26.26 – if Non-Trading |
| Northwest Territories | \$20 for NT residents | \$250 - if Trading |
| Nunavut | \$20 for NU residents | \$250 - if Trading |
| Ontario | \$200 for each Dealing Representative application under the Ontario Securities Act. \$200 for each Dealing Representative application under the Commodity Futures Act UDP and/or CCO – \$200 | \$0 |

| | (if not also applying as a Dealing Representative) | |
|----------------------|--|-----------------------|
| Prince Edward Island | \$20 for PEI residents | \$200 - if Trading |
| Quebec | Officer/Director/Partner – \$250 | \$0 |
| | Executive (if IIROC only category & if QC resident only) – \$250 | \$0 |
| | UDP and/or CCO – \$250 | \$390 |
| | Dealing Representative – \$125 | \$156 |
| | Supervisor (if QC resident only) – \$125 | \$0 |
| Saskatchewan | \$12.50 | \$237.50 - if Trading |
| Yukon | \$20 for YK residents | \$250 - if Trading |

SURRENDER / TERMINATION FEES (MANITOBA & QUEBEC ONLY)

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------|---------------------------|
| Manitoba | | |
| Surrendering a UDP, CCO or Dealing/Associate/Advising Representative | \$0 | \$50 |
| Quebec | | |
| Surrendering Dealing Representative, CCO or UDP | \$125 | \$0 |
| Notice of Termination Fees apply only if Dealing Representative, CCO or UDP | \$125 | \$0 |

CHANGE OF CATEGORY FEES

The CSA's fee for UDP and CCO must be collected for applications adding the new Registration categories of UDP and CCO, even though the individual is also approved in the IIROC categories by the same name. These are new categories under NI 31-103 in all provinces and fees apply in the following provinces:

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------|---|
| Alberta: | | |
| CCO | \$60 | <p>\$240</p> <p>Fees are applicable for both residents and non-residents of AB.</p> <p>Fees are only applicable if the individual was non-trading prior to adding CCO. If the individual was registered as a dealing representative or in an advising category, no fee is required when adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> |
| UDP | \$60 | <p>\$240</p> <p>Fees are applicable for both residents and non-residents of AB.</p> <p>Fees are only applicable if the individual was non-trading prior to adding UDP.</p> <p>If currently approved in a fee-pulling category (i.e. dealing representative/advising category) no fee is required when adding UDP.</p> <p>If applying for other fee-pulling categories (i.e. dealing representative), only one fee is charged - regardless of the number of categories selected.</p> |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$60 | \$240 |
| Dealing Representative to Trading Partner, Director, Officer | \$0 | \$0 |

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------------------|--|
| Non-Trading Officer to Non-Trading Officer/Director | \$0 | \$0 |
| Director to Non-Trading Officer/Director | \$0 | \$0 |
| British Columbia: | | |
| CCO | \$0 | \$0 |
| UDP | \$0 | \$0 |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$25 | \$225 |
| Dealing Representative to Trading Partner, Director, Officer | \$0 | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$0 | \$0 |
| Director to Non-Trading Officer/Director | \$0 | \$0 |
| Manitoba: | | |
| CCO | \$10 for MB Residents | <p>\$300</p> <p>Fees are applicable for both residents and non-residents of MB.</p> <p>Fees are only applicable if the individual was non-trading prior to adding CCO. If the individual was registered as a dealing representative or in an advising category, no fee is required when adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> |
| UDP | \$10 for MB Residents | <p>\$300</p> <p>Fees are applicable for both residents and non-residents of MB.</p> <p>Fees are only applicable if the individual was non-trading</p> |

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------------------|---|
| | | <p>prior to adding UDP. If the individual was registered as a dealing representative or in an advising category, no fee is required when adding UDP.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$10 for MB Residents | \$300 |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for MB Residents | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for MB Residents | \$0 |
| Director to Non-Trading Officer/Director | \$10 for MB Residents | \$0 |
| New Brunswick: | | |
| CCO | \$10 for NB resident | <p>\$300 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NB.</p> <p>Fees are only applicable if the individual was non-trading prior to adding CCO. If the individual was registered as a dealing representative or in an advising category, no fee is required when adding CCO.</p> |
| UDP | \$10 for NB resident | <p>\$300 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NB.</p> <p>Fees are only applicable if the individual was non-trading prior to adding UDP. If the individual was registered as a dealing representative, in an advising category or CCO, no fee is required when adding UDP.</p> |

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------------------|--|
| Non-Trading Officer to Trading Officer | \$10 for NB residents | \$300 |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for NB residents | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for NB residents | \$0 |
| Director to Non-Trading Officer/Director | \$10 for NB residents | \$300 |
| Newfoundland | | |
| CCO | \$10 for NL resident | <p>\$250 – if non-trading</p> <p>For both resident and non-residents. The maximum fee that will be charged in NL for an individual, no matter how many categories of registration, is \$250.</p> <p>If currently registered as a Dealing Representative and applying to be the CCO, there would be no fee.</p> <p>If an individual is an Officer, the fee is \$225 to add CCO.</p> |
| UDP | \$10 for NL resident | <p>\$25</p> <p>For both resident and non-residents. The maximum fee that will be charged in NL for an individual, no matter how many categories of registration, is \$250.</p> <p>If currently registered as a Dealing Representative and applying to be UDP, there would be no fee.</p> <p>If currently registered as an Officer, to add the UDP category, there would be no fee.</p> |
| Non-Trading Partner, Director, Officer to Trading | \$10 for NL | \$225 |

| Province | IIROC Fee | Securities Commission Fee |
|--|------------------------|--|
| Partner, Director, Officer | residents | |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for NL residents | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for NL residents | \$0 |
| Director to Non-Trading Officer/Director | \$10 for NL residents | \$25 |
| Northwest Territories | | |
| CCO | \$10 for NWT Residents | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NT.</p> <p>Fees are only applicable if the individual was non-trading prior to adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |
| UDP | \$10 for NWT Residents | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NT.</p> <p>Fees are only applicable if the individual was non-trading prior to adding UDP.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$10 for NWT Residents | \$250 |

| Province | IIROC Fee | Securities Commission Fee |
|--|------------------------|---|
| Dealing Representative to Trading Partner, Director, Officer | \$10 for NWT Residents | \$100 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for NWT Residents | \$100 |
| Director to Non-Trading Officer/Director | \$10 for NWT Residents | \$100 |
| Nova Scotia | | |
| CCO | \$10 for NS resident | <p>\$321.48– if trading</p> <p>The fee for CCO is driven off the total registration fee of \$321.48.</p> <p>The fee for an existing Non-Trading Officer changing to or adding CCO is \$295.22, as the existing non-trading status fee paid was \$26.26 to the NSSC.</p> <p>If currently registered as a Dealing Representative and applying to be the CCO, there would be no fee.</p> <p>The fee (for a permitted individual) is \$26.26. The \$295.22 would apply to any permitted individual wanting to add Dealing Rep., CCO or UDP.</p> |
| UDP | \$10 for NS resident | <p>\$321.48– if trading</p> <p>The fee for UDP is driven off the total registration fee of \$321.48</p> <p>The fee for an existing Non-Trading Officer changing to or adding UDP is \$295.22, as the existing non-trading status fee paid \$26.26 to the NSSC.</p> <p>If currently registered as a Dealing Representative and applying to be the UDP, there would be no fee.</p> <p>The fee (for a permitted individual) is \$26.26. The \$295.22 would apply to any permitted individual wanting to add</p> |

| Province | IIROC Fee | Securities Commission Fee |
|--|-----------------------|---------------------------|
| | | Dealing Rep., CCO or UDP. |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$10 for NS residents | \$295.22 |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for NS residents | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for NS residents | \$0 |
| Director to Non-Trading Officer/Director | \$10 for NS residents | \$0 |

| Nunavut | | |
|----------------|-----------------------|---|
| CCO | \$10 for NU Residents | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NU. Fees are only applicable if the individual was non-trading prior to adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |
| UDP | \$10 for NU Residents | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of NU. Fees are only applicable if the individual was non-trading prior to adding UDP.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |

| | | |
|--|--|--|
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$10 for NU Residents | \$250 |
| Province | IIROC Fee | Securities Commission Fee |
| Nunavut (cont.) | | |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for NU Residents | \$100 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for NU Residents | \$100 |
| Director to Non-Trading Officer/Director | \$10 for NU Residents | \$100 |
| Ontario | | |
| CCO | \$200 If the individual is registered as a dealing representative, no fee is required when applying as CCO. | \$0 (Note: The fee split for applications for those seeking CCO registration for both the Investment Dealer and Investment Fund Manager Categories is \$100 payable to IIROC and \$100 payable to the OSC) |
| UDP | \$200 If the individual is registered as a dealing representative, no fee is required when applying as UDP. | \$0 |
| Non-Trading Partner, Director, Officer to Trading | \$200 | \$0 |

| Province | IIROC Fee | Securities Commission Fee |
|--|------------------------|--|
| Ontario (cont.) | | |
| Partner, Director, Officer | | |
| Dealing Representative to Trading Partner, Director, Officer | \$0 | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$0 | \$0 |
| Director to Non-Trading Officer/Director | \$0 | \$0 |
| Prince Edward Island | | |
| CCO | \$10 for PEI resident | \$200 |
| UDP | \$10 for PEI resident | \$200 |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$10 for PEI residents | \$200 |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for PEI residents | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for PEI residents | \$0 |
| Director to Non-Trading Officer/Director | \$10 for PEI residents | \$0 |
| Quebec | | |
| CCO | \$150 | \$390 Fees are applicable for both residents and non-residents of Quebec. |
| UDP | \$150 | \$390 Fees are applicable for both residents and non-residents |

| | | of Quebec. |
|--|------------------|--|
| Province | IIROC Fee | Securities Commission Fee |
| Quebec (cont.) | | |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$150 | \$156 |
| Dealing Representative to Trading Partner, Director, Officer | \$150 | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$150 | \$0 |
| Director to Non-Trading Officer/Director | \$150 | \$0 |
| Adding only an IIROC Approval Category (for QC resident only) | \$150 | \$0 |
| Saskatchewan | | |
| CCO | \$12.50 | <p>\$237.50</p> <p>Fees are applicable for both residents and non-residents of SK. Fees are only applicable if the individual was non-trading prior to adding CCO. If the individual was registered as a dealing representative or in an advising category, no fee is required when adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> |
| UDP | \$12.50 | <p>\$237.50</p> <p>Fees are applicable for both residents and non-residents of SK. Fees are only applicable if the individual was non-trading prior to adding UDP.</p> <p>If currently approved in a fee-pulling category (i.e. dealing representative/advising category) no fee is required when adding UDP.</p> |

| | | |
|--|----------------------|---|
| | | If applying for other fee-pulling categories (i.e. dealing representative), only one fee is charged - regardless of the number of categories selected. |
| Non-Trading Partner, Director, Officer to Trading Partner, Director, Officer | \$12.50 | \$237.50 |
| Dealing Representative to Trading Partner, Director, Officer | \$0 | \$0 |
| Non-Trading Officer to Non-Trading Officer/Director | \$0 | \$0 |
| Director to Non-Trading Officer/Director | \$0 | \$0 |
| Yukon | | |
| CCO | \$10 for YK resident | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of YK. Fees are only applicable if the individual was non-trading prior to adding CCO.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |
| UDP | \$10 for YK resident | <p>\$250 – if non-trading</p> <p>Fees are applicable for both residents and non-residents of YK. Fees are only applicable if the individual was non-trading prior to adding UDP.</p> <p>If registered or applying for other fee-pulling categories, only one fee is charged, regardless of the number of categories selected.</p> <p>\$100 – if Trading (automatic on submission)</p> |
| Non-Trading Partner, Director, Officer to Trading | \$10 for YK | \$250 |

| | | |
|--|----------------------|-------|
| Partner, Director, Officer | resident | |
| Dealing Representative to Trading Partner, Director, Officer | \$10 for YK resident | \$100 |
| Non-Trading Officer to Non-Trading Officer/Director | \$10 for YK resident | \$100 |
| Director to Non-Trading Officer/Director | \$10 for YK resident | \$100 |

REINSTATEMENT SUBMISSION FEES:

| Province | IIROC Fee | Securities Commission Fee |
|-------------------------|-----------------------|---------------------------|
| Alberta | | |
| Dealing Representative | \$0 | \$0 |
| CCO | \$0 | \$0 |
| UDP | \$0 | \$0 |
| British Columbia | | |
| Dealing Representative | \$0 | \$0 |
| CCO | \$0 | \$0 |
| UDP | \$0 | \$0 |
| Manitoba | | |
| Dealing Representative | \$10 for MB Residents | \$75.00 |
| CCO | \$10 for MB Residents | \$75.00 |
| UDP | \$10 for MB Residents | \$75.00 |
| New Brunswick | | |
| Dealing Representative | \$10 for NB residents | \$100 |

| | | |
|------------------------------|------------------------|----------|
| CCO | \$10 for NB residents | \$100 |
| UDP | \$10 for NB residents | \$100 |
| Newfoundland | | |
| Dealing Representative | \$10 for NL residents | \$0 |
| CCO | \$10 for NL residents | \$0 |
| UDP | \$10 for NL residents | \$0 |
| Northwest Territories | | |
| Dealing Representative | \$10 for NWT Residents | \$0 |
| CCO | \$10 for NWT Residents | \$0 |
| UDP | \$10 for NWT Residents | \$0 |
| Nova Scotia | | |
| Dealing Representative | \$10 for NS residents | \$107.16 |
| CCO | \$10 for NS residents | \$107.16 |
| UDP | \$10 for NS residents | \$107.16 |
| Nunavut | | |
| Dealing Representative | \$10 for NU Residents | \$0 |
| CCO | \$10 for NU Residents | \$0 |
| UDP | \$10 for NU Residents | \$0 |
| Ontario | | |
| Dealing Representative | \$0 | \$0 |
| CCO | \$0 | \$0 |
| UDP | \$0 | \$0 |
| | | |

| | | |
|---|------------------------------|---------|
| Prince Edward Island | | |
| Dealing Representative | \$10 for PEI residents | \$100 |
| CCO | \$10 for PEI residents | \$100 |
| UDP | \$10 for PEI residents | \$100 |
| Quebec | | |
| Dealing Representative | \$150 | \$0 |
| CCO | \$150 | \$0 |
| UDP | \$150 | \$0 |
| Officer/Director/Partner | \$150 | \$0 |
| Executive or Supervisor only <i>(for QC resident only)</i> | \$150 | \$0 |
| Saskatchewan | \$0 | \$100 |
| Dealing Representative | \$5.00 | \$95.00 |
| CCO | \$5.00 | \$95.00 |
| UDP | \$5.00 | \$95.00 |
| Yukon | | |
| Dealing Representative | \$10 for YK resident | \$100 |
| CCO | \$150 + \$10 for YK resident | \$100 |
| UDP | \$10 for YK resident | \$100 |