

RULE 900

SERVICE CHARGE ON RIGHTS

- 900.1. Whenever a Dealer Member renders services to a customer in connection with the exercise of rights to subscribe for shares, which are listed on a recognized stock exchange which prescribes a fixed commission for trades of such shares, there shall be charged by the Dealer Member and paid by the customer, to cover the Dealer Member's estimated expenses, an amount equal to one-half the commission that would have been payable if the shares subscribed for had been bought on such stock exchange at the subscription price; provided that such amount shall be reduced by any sum payable by the issuing company to the Dealer Member for obtaining the subscription. The Dealer Member in his or her discretion may waive the payment of a service charge by the customer if the charge is less than \$5.00.
- 900.2. No part of any amount so paid to a Dealer Member by a customer or by the issuing company shall be paid by the Dealer Member to any other person, firm or corporation resident in Canada other than to registered representatives, restricted registered representatives, investment representatives, or restricted investment representatives in the employ of the Dealer Member.