

**ANNEX A  
AMENDMENTS TO  
ONTARIO SECURITIES COMMISSION RULE 13-502 FEES**

**1. Ontario Securities Commission Rule 13-502 Fees is amended by this Instrument.**

**2. Section 1 is amended by:**

**(a) replacing the definition of “registrant firm” with the following:**

“registrant firm” means a person or company registered or required to be registered as a dealer, adviser or investment fund manager under the Act;

**(b) adding the following definition: “restricted dealer” has the same meaning as in NI 31-103;**

**3. Subsection 17(2)(d) is amended by:**

**(a) replacing “advisory or sub-advisory fees paid during the designated financial year by it to (i) a registrant firm, as “registrant firm” is defined in this Rule or in Rule 13-503 (Commodity Futures Act) Fees, or (ii) an unregistered” exempt international firm; with the following:**

advisory or sub-advisory fees paid during the designated financial year by it to (i) a registered dealer, registered adviser or registered investment fund manager, under the *Securities Act*; or (ii) a person or company registered as a dealer or an adviser under the *Commodity Futures Act*; or (iii) an unregistered exempt international firm;

**4. Appendix F is amended by:**

**(a) adding “, other than in the registration category of restricted dealer” after “registration” in Row I1.**

**(b) adding the following row after Row I1:**

I1.1	Additional fee for new registration of a firm in the registration category of restricted dealer	\$24,500
------	---	----------

**(c) adding the following row after Row L4:**

L5	An application referred to in Row L1 or L2 if the application is by a restricted dealer or a firm that has applied for registration in the category of restricted dealer and involves an exemption from one or more requirements of National Instrument 21-101 <i>Marketplace Operation</i> , National Instrument 23-101 <i>Trading Rules</i> , or	The amount in Row L1 or L2 is increased by \$24,500
----	--	---

	National Instrument 23-103 <i>Electronic Trading and Direct Electronic Access to Marketplaces</i>	
--	---	--

**5. *The General Instructions of Form 13-502F4 are amended by replacing subsection (2) with the following:***

2. This form is to be completed by “registrant firms” (as defined in the Rule) or by firms that are “registrant firms” under both the Rule and OSC Rule 13-503 (*Commodity Futures Act Fees*). This form is also to be completed by unregistered capital markets participants.

**6. *The Notes of Form 13-502F4 are amended by replacing 4. with the following:***

4. Where the advisory services of a (i) a registered dealer, registered adviser or registered investment fund manager, under the *Securities Act*; or (ii) a person or company registered as a dealer or an adviser under the *Commodity Futures Act*; or (iii) an unregistered exempt international firm, are used by the person or company to advise on a portion of its assets under management, such sub-advisory costs are permitted as a deduction on this line to the extent that they are otherwise included in gross revenues.

**7. *Part 5(c) Advisers, Other Dealers, and Unregistered Capital Markets Participants of Form 13-502F4 is amended by replacing line 5 with:***

Advisory or sub-advisory fees paid during the designated financial year by it to (i) a registered dealer, registered adviser or registered investment fund manager, under the *Securities Act*; or (ii) a person or company registered as a dealer or an adviser under the *Commodity Futures Act*; or (iii) an unregistered exempt international firm.

**8. This Instrument comes into force on July 2, 2024.**