

**Ontario Securities Commission**

**Multilateral Instrument 13-102**

**Unofficial consolidation current to 2023-06-09.**

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**MULTILATERAL INSTRUMENT 13-102**  
***SYSTEM FEES***

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## Definitions

**1 (1)** In this Instrument,

“annual information form” means

- (a) an “AIF” as defined by National Instrument 51-102 *Continuous Disclosure Obligations*, or
- (b) an annual information form referred to in Part 9 of National Instrument 81-106 *Investment Fund Continuous Disclosure*;

“principal regulator” means the principal regulator determined under section 5 of National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* ;

“shelf prospectus” means a prospectus filed under National Instrument 44-102 *Shelf Distributions*;

“system fee” means a fee set out in Appendix A or B.

**(2)** In this Instrument, a term referred to in Column 1 of the following table has the meaning ascribed to it in the Instrument referred to in Column 2 opposite that term:

<b>Column 1 Defined Term</b>	<b>Column 2 Instrument</b>
CPC instrument	National Instrument 45-106 <i>Prospectus Exemptions</i>
document	National Instrument 13-103 <i>System for Electronic Data Analysis and Retrieval + (SEDAR+)</i>
long form prospectus	National Instrument 41-101 <i>General Prospectus Requirements</i>
preliminary MJDS prospectus	National Instrument 71-101 <i>The Multijurisdictional Disclosure System</i>
rights offering circular	Section 2.1 of National Instrument 45-106 <i>Prospectus Exemptions</i>
SEDAR+	National Instrument 13-103 <i>System for Electronic Data Analysis and Retrieval + (SEDAR+)</i>
short form prospectus	National Instrument 41-101 <i>General Prospectus Requirements</i>
sponsoring firm	National Instrument 33-109 <i>Registration Information</i>

## Inconsistency with other instruments

**2** If there is any conflict or inconsistency between this Instrument and National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)*, this Instrument prevails.

## System fees for transmission

**3 (1)** A person or company described in Column A of Appendix A must pay the corresponding system fee specified in Column C of the Appendix to the person or company's

principal regulator, if the person or company transmits a filing of a type described in Column B of the Appendix.

(2) Subsection (1) does not apply unless the securities regulatory authority in the local jurisdiction is the person or company's principal regulator.

### **Annual registrant system fee**

4 On December 31 of each year, a sponsoring firm must, for each individual registrant of the sponsoring firm, pay the system fee specified in Column C of Appendix B to the securities regulatory authority if the securities regulatory authority in the local jurisdiction is the individual registrant's principal regulator on that date.

### **Means of payment**

5 A person or company required to pay a system fee must pay the fee through SEDAR+.

### **Exemption**

6 (1) The regulator or the securities regulatory authority may grant an exemption from this Instrument, in whole or in part, subject to such conditions or restrictions as may be imposed in the exemption.

(2) Despite subsection (1), in Ontario, only the regulator may grant such an exemption.

(3) Except in Alberta and Ontario, an exemption referred to in subsection (1) is granted under the statute referred to in Appendix B of National Instrument 14-101 *Definitions*, opposite the name of the local jurisdiction.

### **Transition**

7 (1) Despite section 5, a person or company required to pay a system fee under Item 1 of Appendix A or under Appendix B must pay the fee through NRD, as defined in National Instrument 31-102 *National Registration Database*, until National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* requires that the person or company transmit, through SEDAR+, a filing of a type described in Item 1 of Appendix A or in Appendix B.

(2) Despite section 3, a person or company is not required to pay a system fee under Item 2 of Appendix A until National Instrument 13-103 *System for Electronic Data Analysis and Retrieval + (SEDAR+)* requires that the person or company transmit, through SEDAR+, a filing of a type described in Item 2 of Appendix A.

### **Repeal**

8 Multilateral Instrument 13-102 *System Fees for SEDAR and NRD*, which came into force on October 12, 2013, is repealed.

### **Effective Date**

9 (1) This Instrument comes into force on June 9, 2023.

**(2)** In Saskatchewan, despite subsection (1), if this Instrument is filed with the Registrar of Regulations after June 9, 2023, this Instrument comes into force on the day on which it is filed with the Registrar of Regulations.

## APPENDIX A SYSTEM FEES

In this Appendix,

“application” means a request transmitted through SEDAR+ for a decision of the regulator or securities regulatory authority but, for greater certainty, does not include a pre-filing;

“pre-filing” means a request to consult with the principal regulator regarding the application of securities legislation or securities directions generally or the application of securities legislation or a direction to a particular transaction or matter or proposed transaction or matter.

Item	Column A Person of company required to file	Column B Filing Type	Column D System Fee
1	Sponsoring firm – in respect of an individual registrant	Application for registration or reactivation of registration	\$86
2	International dealer or international adviser	Annual notice of reliance on exemption from dealer registration requirement or adviser registration requirement	\$350
3	Investment fund that is a reporting issuer	Annual financial statements	\$525
4	Investment fund	Preliminary, pro forma, or combined preliminary and pro forma long form prospectus	\$2200, regardless of whether the applicable long form prospectus relates to the distribution of the securities of one or more than one investment fund
		Preliminary, pro forma, or combined preliminary and pro forma simplified prospectus	\$2200, regardless of whether the applicable simplified prospectus relates to the distribution of the securities of one or more than one investment fund
5	Reporting issuer other than an investment fund	Annual financial statements	\$765
6	Reporting issuer, other than an investment fund, that is not a short form prospectus issuer	Annual information form	\$430
7	Investment fund that is not a short form prospectus issuer	Annual information form	\$430
8	Reporting issuer that is a short form prospectus issuer	Annual information form	\$2530
9	Issuer other than an investment fund	Preliminary long form prospectus	\$950



**APPENDIX B  
SYSTEM FEES**

Column A <b>Person or company required to file</b>	Column B <b>Filing Type</b>	Column C <b>System Fee</b>
Sponsoring firm – in respect of each individual registrant sponsored by the firm	Annual registration renewal	\$86