

Chapter 5

Rules and Policies

5.1.1 Amendments to OSC Rule 13-502 Fees

AMENDMENTS TO OSC RULE 13-502 FEES

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

2. ***Section 3.3 is replaced with the following:***

3.3 Certification

(1) A form required to be filed under section 3.1 or 3.2 must contain a certificate signed by any one of the following:

- (a) the chief compliance officer of the registrant or the unregistered capital markets participant;
- (b) in the case of an unregistered capital markets participant without a chief compliance officer, an individual acting in a similar capacity;
- (c) a specified officer of the registrant or the unregistered capital markets participant, or an individual acting in a similar capacity;
- (d) a director of the registrant or unregistered capital markets participant.

(2) For the purposes of paragraph (1)(c), "specified officer" of a registrant or an unregistered capital markets participant, means an individual with any one or more of the following positions in relation to the registrant or the unregistered capital market participant:

- (a) chief executive officer;
- (b) chief financial officer;
- (c) chief operating officer.

3. ***Form 13-502F4 Capital Markets Participation Fee Calculation is amended***

(a) ***in the "General Instructions" by replacing paragraph 9 with the following:***

9. Information reported on this form must be certified by an individual specified in section 3.3 of this Rule to attest to its completeness and accuracy.; ***and***

(b) ***replacing the heading "Chief Compliance Officer's Certification" with "Certification".***

4. ***This Instrument comes into force on October 18, 2019.***