

FORM 13-501F7
SPECIFIED REGULATED ENTITIES – PARTICIPATION FEE

Name of Specified Regulated Entity: _____

Applicable Calendar Year: _____ (2016 or later)

Type of Specified Regulated Entity: (check one)

- Recognized exchange or recognized quotation and trade reporting system
- Alternate trading system
- Recognized clearing agency
- Exempt exchange, exempt clearing agency or designated trade repository

(1) Participation Fee for applicable calendar year -- Recognized exchange or recognized quotation and trade reporting system on which securities are traded

Filer should enter their Canadian trading share for the specified period below:

Canadian Trading Share Description	% (To be Entered by Filer)
Line 1: the share in the specified period of the total dollar values of trades of exchange-traded securities	
Line 2: the share in the specified period of the total trading volume of exchange-traded securities	
Line 3: the share in the specified period of the total number of trades of exchange-traded securities	
Line 4: Average of Lines 1, 2 & 3 above	
Line 5: Filer is required to pay the amount from the corresponding column in Appendix C based on the average calculated on Line 4 above:	\$

(2) Participation Fee for applicable calendar year -- Recognized exchange on which derivatives are traded

Line 6: If operating a recognized exchange on which derivatives are traded and for which the Commission is the lead or co-lead regulator, enter \$15 000	\$
Line 7: If operating a recognized exchange on which derivatives are traded and for which the Commission is not the lead or co-lead regulator, enter \$7500	\$

(3) Participation Fee for applicable calendar year -- Alternative trading system

Line 8: If operating an alternative trading system for only exchange-traded securities, enter \$8500	\$
Line 9: If operating an alternative trading system for only unlisted debt or securities lending, enter \$4375	\$
Line 10: If operating an alternative trading system not described in Lines 8 or 9, enter \$8500	\$

(4) Participation Fee for applicable calendar year - Recognized clearing agencies providing services in connection with trades in securities

For services offered in Alberta Market the filer should enter the corresponding amount in the Fees Payable Column:

Services	Fee Payable
Line 11: Matching services, enter \$5000	\$
Line 12: Netting services, enter \$10 000	\$
Line 13: Settlement services, enter \$10 000	\$
Line 14: Novation services, if the Commission does not place reliance on another regulator for direct oversight, enter \$75 000	\$

Line 15: Novation services, if the Commission places reliance on another regulator for direct oversight. Enter \$35 000	\$
Line 16: Depository services, enter \$10 000	\$
Line 17: Total Participation Fee Payable (Sum of Lines 11-16):	\$

(5) Participation Fee for applicable calendar year - Recognized clearing agencies providing services in connection with trades in derivatives

Line 18: If operating a recognized clearing agency providing services in connection with trades in derivatives, enter \$15 000	\$
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(6) Participation Fee for applicable calendar year for other types of specified regulated entities

Line 19: Filer is required to pay the amount below, as applicable.	
(a) If operating as an exempt exchange or exempt clearing agency, enter \$5000	\$
(b) If operating as a Designated Trade Repository, enter \$15 000	\$

(7) Prorated Participation Fee

Line 20: If this is the first time paying a participation fee as a specified regulated entity, prorate the amount	\$
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(8) Late Fee

Line 21: Late Fee	\$
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(9) Total Fee Payable

Line 22: Aggregate Participant Fee from Sections (1), (2), (3), (4), (5), and (6)	\$
Line 23: Total Fee Payable is amount from Line 20 or Line 22 plus amount from Line 21:	\$