

Financial Policy No. 1

Annual Fee and Refund Policy

APPLICABLE SECTIONS OF THE ACT, BY-LAWS AND REGULATIONS and/or PURPOSE	CPATA Act S. 26, 29 College Regulations 4 to 11, 23, 24, 25 and 26 College By-Laws Part 3 and Schedule 1		
RESPONSIBILITY	CEO and all CPATA employees		
APPROVED BY	EFFECTIVE	REVIEWED	REVISED
Chief Executive Officer	2021-12-01	2023-01-25	2025-01-01

Rationale

Licensees are required under the *CPATA Act* to pay licence fees according to class, and the fee amounts are set out in CPATA's By-laws. Annual fees for all classes of licence are collected during the annual licence renewal period.

This policy applies to:

- Issuance of initial licence (Class 3)
- Requests for changes in class of licence (Class 1, 2, 3 or 4)
- Applications to surrender a licence (All Classes)
- Applications for reinstatement of a licence (All Classes)
- Patent and Trademark agent qualifying exams

Prorated fees will be calculated according to the policy below and are payable in addition to the applicable application fee(s).

This policy does not apply to Foreign Practitioners and their continued inclusion in the Public Register.

Protocol

(Prorated) Annual Licence Fees

Issuance of Class 3 Licence - The Class 3 Licence annual fee is prorated based on the number of months remaining in the calendar year following the month in which the licence is issued.

- **Approval and Payment:** The Class 3 Licence application is approved pending payment of prorated fee(s).

For example:

- Jan 20 approval – annual fee due for Feb–Dec (11/12 of C3 fee)
- Aug 15 approval – annual fee due for Sept–Dec (4/12 of C3 fee)
- Dec 10 approval – no fees due until the renewal period opens the following calendar year

Changes in Class of Licence (Up): When the new class annual fee is higher than the current class annual fee:

- Class 2 to Class 1
- Class 3 to Class 1 or Class 2
- Class 4 to Class 1 or Class 2

The annual fees of the new class are prorated based on the number of months remaining in the calendar year following the month in which the change of licence class is approved. When changes in class are processed following the close of the annual renewal period, fees paid for the current class will be prorated and a credit will be applied towards the prorated annual fees of the new class.

- **Approval and Payment:** Changes in class of licence are approved pending payment of prorated fee(s).

For example:

- C2 to C1: Jan 20 approval – fees due: Jan (1/12 C2 fee) plus Feb–Dec (11/12 C1 fee)
- C3 to C1: Aug 15 approval – fees due: Jan–Aug (8/12 of C3 fee) plus Sept–Dec (4/12 of C1 fee)
- C4 to C2: Dec 10 approval – no change in fees due until the renewal period opens the following calendar year

Reinstatement of a Licence and Annual Fees – The licensee is required to correct the matter that led to the suspension when applying for reinstatement of a licence. The reinstatement of all licence classes requires the licensee to also make payment of annual licence class fees for the current year, if not already paid, which may be prorated under the following circumstances:

If the licence suspension was administrative in nature (e.g., failure to complete the annual renewal, make annual fee payment or maintain professional liability insurance) in a previous year, the annual fees for the current year will be prorated to include the month the reinstatement request is approved.

For example:

- Jan 20 approval – full annual licence class fee due
- Aug 15 approval – fees due: Aug–Dec (5/12 of annual licence class fee)
- Dec 10 approval – fees due: Dec (1/12 of annual licence class fee)

Refunds Resulting from Prorated Annual Licence Fees

CPATA will allow the licensee to apply any potential refund to the balance of fees required for the year and/or the application fee(s) to change class.

Changes in Class of Licence (Down): When the new class annual fee is lower than the current class annual fee:

- Class 1 to Class 2 or Class 4
- Class 2 to Class 4
- Class 3 to Class 4

The annual fees of the new class are prorated based on the number of months remaining in the calendar year and include the month the change of licence class is requested. When changes in class are processed following the close of the annual renewal period, fees paid for the current class will be prorated and a credit will be applied towards the prorated annual fees of the new class. Any overpayment of prorated fees will be refunded via the licensee's original form of payment. For example:

- C1 to C2: Jan 20 approval – fees due: Jan (no C1 fee) Jan-Dec (full C2 fee)
- C3 to C4: Aug 15 approval – fees due: Jan-Jul (7/12 of C3 fee) plus Aug-Dec (5/12 of C4 fee)
- C2 to C4: Dec 10 approval – no refund of prorated fees will be provided for changes requested in December

Surrender of a Licence – The surrender of all licence classes is subject to a partial refund of annual fees based on the months remaining in the calendar year following the month the request is received. Any refund of prorated fees will be refunded to the licensee's original form of payment.

For example:

- Jan 20 approval – no fees due or paid any time prior to the close of the annual renewal period
- Aug 15 approval – refunded Sept-Dec (4/12 of annual Licence fee paid)
- Dec 10 approval – no refund due

Invoicing and Receipts

Currently, CPATA's process is to have agents initiate the licence renewal process through the online portal. Each agent must verify their information and complete the licence renewal process, which may impact the fee and sales tax amounts invoiced. Receipts may be generated from the online portal once the renewal is complete.

Firm/Organization Bulk Payments

For firms and organizations wishing to make payments for five (5) or more agents, a Bulk Payment Authorization Form may be completed and sent to CPATA for processing. Regardless of any bulk payments made, each individual agent will still be required to complete the annual renewal process using the online portal.

Note: Licensees who are in the process of or considering a change in licence class or reinstatement of a licence should NOT be included on firm/bulk payment forms as the amounts are individually determined when requests are received and approved.

Other Fees

Application/Registration Fees: No refunds will be provided for application fees paid to CPATA unless it is determined that the application was made in error and/or was not required or is withdrawn before CPATA reviews the application. This decision will be made by the CEO & Registrar.

Patent and Trademark Knowledge and Skills Exams: If a written request to withdraw from the qualifying examination is received at least 7 days prior to the exam administration, CPATA will provide a refund to the applicant for the portions of the exams not written. If a written request to withdraw from the qualifying examination is not received at least 7 days prior to the exam administration, the applicant

may be asked to provide additional documentation to support a refund request. Decisions regarding refund requests for exams will be made by the CEO & Registrar and/or Director, Registration & Education, Deputy Registrar.

Refund Processing

If CPATA must refund a payment to a licensee or other individual, the refund shall be paid using the same method and to the same account as the initial transaction. Credit Card payments are to be processed in the regulatory database system by the CFO (or delegate) or in the payment processing (Moneris) system. E-mail money transfers received, and direct deposits will be paid through RBC Express via an electronic funds transfer. CPATA will not send e-mail money transfers.

Extraordinary Circumstances

In extraordinary circumstances (e.g., death or incapacity of a licensee), the CEO & Registrar may make an exception and approve a refund to a licensee at a reasonable amount based on the number of months remaining in the calendar year. If a licensee is suspended and/or has their licence revoked by CPATA, no refund will be paid to the licensee.