

# Top Five Tips on How to Survive Your BCSC Compliance Exam

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British Columbia Securities Commission



## How to Survive Your BCSC Compliance Exam



**#5** Put examiners in a comfortable room



## How to Survive Your BCSC Compliance Exam

# #4

Establish a regular time to meet with the examiners on a daily basis during the exam





# How to Survive Your BCSC Compliance Exam

## #3

Provide  
documentation  
when requested





# How to Survive Your BCSC Compliance Exam

## #2

Provide access  
to personnel





# How to Survive Your BCSC Compliance Exam

## #1

### Cooperation

Regulators  
want to work  
with you, not  
against you





# How to survive your BCSC Compliance Exam

## New policies out for comment:

- Proposed Amendments to National Instrument 21-101 Marketplace Operation and National Instrument 23-101 Trading Rules and related Universal Market Integrity Rules

The comment period ends on July 19

- Proposed Amendments to National Instrument 81-106 Investment Fund Continuous Disclosure

The comment period ends on August 31