



British Columbia Securities Commission

## Registrant Outreach Workshop

April 13, 2016

### Captive Dealers (Mark French & Vida Mehin)

- Please refer to [CSA Staff Notice 31-343](#) – *Conflicts of interest in distributing securities of related or connected issuers*

### Status Updates From Corporate Finance (Leslie Rose)

- Cease Trade Orders – application across Canada
  - Alberta Securities Act – statutory reciprocal provision
  - [MI 11-103](#) - *Failure-to-File Cease Trade Orders in Multiple Jurisdictions*– effective June 23, 2016
- Acknowledgement from Accredited investors
  - [Form 45-106F9](#)
  - Only individuals covered by (j), (k), and (l) of the accredited investor definition

### CMR – Issues from the Field (Ray Harding & Jonathan Lee)

- Outside Business Activity
- Relationship Disclosure Information
- Policy and Procedures Manuals
- Know Your Client
- Suitability
- Risk - client vs registrant perspective

### Panel Discussion – CRM2 – Implementation from perspective of dealers and advisors

- Systems
- Household / Consolidated Reporting
- Presentation of Performance Reporting
- Communicating with Clients
- E-delivery
- Common client queries

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