

Outreach Session for the 2020 Risk Assessment Questionnaire

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Agenda

Part 1: Introduction

Part 2: Key Changes from Previous Years and Navigating the Questionnaire

Part 3: Common Questions Received from Registrants

Part 4: Resources

Part 5: Questions and Answer Session



Part 1: Introduction

Part 1: Introduction 4



Purpose

- The OSC uses a risk-based approach
- The information that we collect through the Risk Assessment Questionnaire (Questionnaire) will be used to support our oversight activities and evidence-based decision making

Part 1: Introduction



Part 2: Key Changes from Previous Years and Navigating the Questionnaire



Key Changes from Previous Years Pre-populated responses:

- We have pre-populated certain questions in the Questionnaire with responses from the firm's 2018 Questionnaire.
- Static non-financial information has been pre-populated.
- Firms must review the pre-populated responses, including comments provided in each question and in the Final Overall Feedback section. Make changes where necessary.



 The Questionnaire FAQ and User Guide can be accessed using the following link: https://www.osc.gov.on.ca/documents/en/Dealers/da_202004

https://www.osc.gov.on.ca/documents/en/Dealers/da 202004 15 rag-fag-user-guide.pdf

 We strongly recommend that you review the FAQ and User Guide before you begin completing the Questionnaire as it will assist you with getting started and knowing what to expect.



 A two step process has been implemented for security reasons to safeguard your firm's information.

Step 1: Create an Okta Account

- Your Chief Compliance Officer would have received an email from the OSC on June 11, 2020 containing 2 URL links. The first URL link can be used to create an Okta Account for your firm.
- The following data is required to create the account:
 - Chief Compliance Officer's email address (as reported on NRD)
 - First Name
 - Last Name
 - Create a password



Step 1: Create an Okta Account (continued)

 Once the account has been created an email will be sent to the Chief Compliance Officer to validate and setup the account. Don't forget to setup a "Forgotten Password Question" in case you have trouble signing into your Okta account.

Step 2: Accessing the Questionnaire

 Once your Okta account has been setup, the firm can now access its Questionnaire through the second URL link provided in the email to your Chief Compliance Officer on June 11, 2020.



Resetting your password

- Your password can be reset by navigating to the Questionnaire URL and selecting "Need help signing in?" and then "Forgot Password".
- Enter the email address associated with your Okta account. An email with instructions on how to reset your password will be sent to your email address.



 Prospectus-Exempt Fund Form has been separated from the Questionnaire.

 The Ultimate Designated Person is expected to review all responses of the Questionnaire and certify by clicking the tick boxes at the start of each section that the information is complete and accurate.



- Deleted Questions
 - Eight questions have been deleted.
- Information to be reported is for the periods ended December 31, 2018 and December 31, 2019.
- · Due Date:
 - August 6, 2020 for all sections of the questionnaire.



Sections of the Questionnaire that are Applicable to Your Firm

- The Questionnaire has four sections and is customized to your firm's registration categories. For example, if your firm is not registered as an investment fund manager, your Questionnaire will not contain the IFM section.
- Make sure you review the registration categories checked off for your firm on the first page of the Questionnaire. Call the contact person immediately if there are any discrepancies.

Firm's registration category(ies):

Investment Fund Manager (IFM)
Portfolio Manager (PM)
Exempt Market Dealer (EMD)

Confirm the validity of the information

Click here to confirm that the information above is valid.



Functions on the Tool Bar

- Help
- FAQ & User Guide
- Print
- Save and return to Home page
- Go to page...
- Next





The Questionnaire supports the following web browsers:

- Microsoft Internet Explorer 10, 11
- Mozilla Firefox 43 and future fix packs
- Mozilla Firefox ESR 38 and future fix packs
- Google Chrome 46 and future fix packs
- Apple Safari 8.0 and future versions
- Microsoft edge 44 and future fix packs

The Questionnaire may not function properly if other browsers are used.

120-minute inactivity limit:

- After 120 minutes of inactivity, the Questionnaire session will expire and any unsaved data will be lost.
- The Questionnaire remains open and only when you click on Save will there be a notice that the session has expired.
- If you have not worked on the Questionnaire for sometime, re-open or try to save before you start working on it again.

Save frequently!



Mandatory Fields

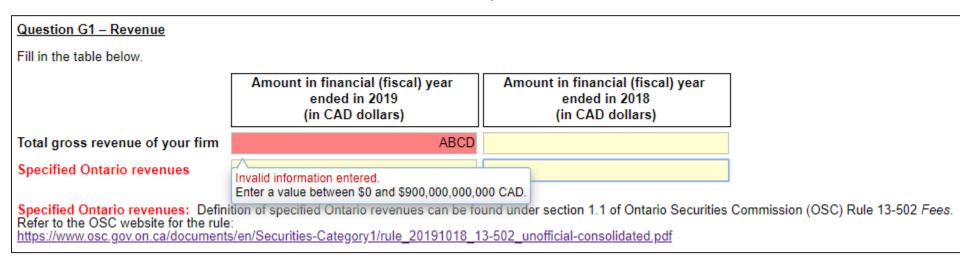
- Mandatory fields are highlighted in yellow
 - The firm must complete all mandatory fields in order to be able to submit the Questionnaire.
- Some answers require you to provide additional information in a comment box – the comment box will be highlighted yellow.

Question G14 – Compliance resources
Describe the compliance resources used to ensure ongoing compliance with securities law:
a) Receive training and/or review newsletters or periodic updates from external legal counsel
b) Receive training and/or review newsletters or periodic updates from a compliance consultant - provide the name of the compliance consultant in the comment box below
c) Internal compliance staff (besides Chief Compliance Officer)
d) Internal legal counsel
e) Maintain membership in any industry associations (e.g. Portfolio Management Association of Canada, Investment Funds Institute of Canada, Private Capital Markets Association of Canada, National Exempt Market Association)
f) Attend OSC Registrant Outreach program
g) Other – provide details in comment box below
h) None of the above
Other compliance resources



Error Messages

- Mandatory information is not complete.
- Inputted value is not permitted or is outside of allowable range.
- In the example below letters have been entered into the field where a numerical value is required.





Saving the Questionnaire

- Save often by clicking the Save button.
- Look for the following screen to ensure information entered is successfully saved on our secure server.

Your responses have been successfully saved!

You can choose to continue working on your draft by clicking CONTINUE. The system will bring you back to the Home page. Open the section and use the Go to page...

or

You can click Logout to end your session.



Navigating Between Pages

 If there is incomplete or invalid text entered on a page of the Questionnaire when clicking either the **Previous**, **Next** or using the **Go to page** functionality, the form will prompt an error message as outlined below.



You may select **OK** to navigate to the selected page or **Cancel** to stay on the current page.



Submitting the Questionnaire

- Save your responses first before submitting your Questionnaire to avoid any data being lost during the submission process.
- Ensure that you are satisfied with your responses prior to clicking the Submit icon. Once a section has been submitted, you will not be able to make changes.
- The Submit icon is located on the last page of each section.



 Each section of the Questionnaire must be submitted separately.



Submitting the Questionnaire (cont'd)

 If there is any incomplete or invalid text within the Questionnaire, the form will provide an error message when you click the **Submit** button and direct you to the missing or erroneous question.





Submitting the Questionnaire (cont'd)

- Upon successfully submitting a section, you will see the following confirmation page.
- If the server is busy, this could take several minutes do not close your browser until you receive your confirmation with submission ID.
- Wait until you see the submission ID before accessing the PDF file.

Thank you for your submission.

Submission ID: RAQ1585660775893-410.

Submission date and time: 2020-04-06 10:56.

Please save a copy of your submission in PDF for your records by clicking "Q"



You can choose to continue working on your other 2020 Risk Assessment Questionnaire sections by clicking CONTINUE

You can click <u>Logout</u> to end your session.



Submitting the Questionnaire (cont'd)

- If you receive an error message regarding your submission, close the browser and login again to access the Home Page
- Open the applicable section of the Questionnaire, and resubmit the section



Part 3: Common Questions received from Registrants



General Questions

- Is there a difference in how I should respond to questions in the General Section compared to questions in the specific registration category? Yes
 - Responses to questions in the General Section should reflect the business activities at the firm level
 - Responses to questions in the specific registration category (i.e. PM, IFM, EMD, etc.) should reflect the respective business lines
- Which time period should I apply to the questions?
 - Use the specified time period stated in the question
 - If the question does not have a specified time period, use December 31, 2019



General Questions (cont'd)

How do I respond to the questions when...

- my firm is only recently registered in Ontario
- my firm is "inactive" and I have not applied to surrender my registration
- my business model does not fit with the type of questions being asked



General Questions (cont'd)

- What if my firm isn't located in Ontario?
- Firms registered with the OSC but:
 - Located in a different country
 - Fill out the General Section based on your world-wide activities
 - For each specific registration category, respond to questions based on your Canadian operations
 - Their principal regulator is another province
 - All of the firm's operations should be considered when responding to questions
 - Also registered with an SRO
 - Consider your non-SRO operations when answering the questions



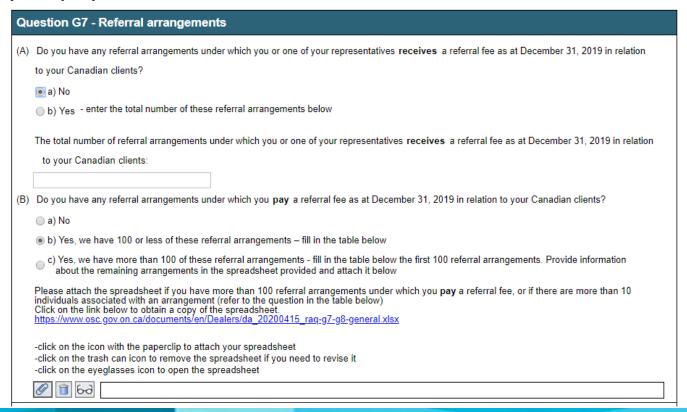
General Section – Referral Arrangements

- Provide information about the arrangements under which you either receive or pay a referral fee as at December 31, 2019
- This question will be partially pre-populated with any information provided in the 2018 RAQ.
- Ensure that the pre-populated information is accurate, for example:
 - That all the individuals at a firm you pay that are a party to the referral arrangement are identified. In addition to validating the pre-populated information in the table, you must attach a spreadsheet to provide additional names if there are more than 10 individuals
 - That the pre-populated percentage of referral fee paid to the referrer out of the fee or commission earned from the arrangement is still correct



General Section – Referral Arrangements (cont'd)

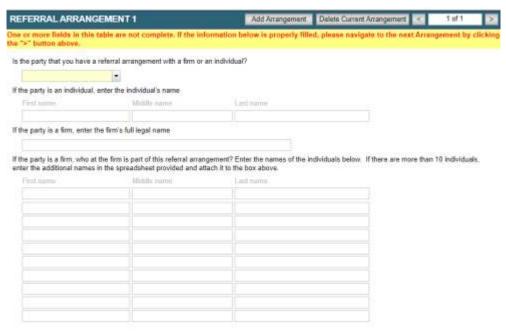
There are two ways to provide the information, depending on if you have more than 100 referral arrangements under which you pay a referral fee:





General Section – Referral Arrangements (cont'd)

- Provide information for the first 100 arrangements in the table illustrated below
- If the table is pre-populated, make sure to add any new arrangements or remove any arrangements that have been terminated





General Section – Referral Arrangements (cont'd)

- If your firm has more than 100 arrangements, provide information about the remaining arrangements by completing a spreadsheet which can be downloaded from link found in section (B) of question G7 in the General Section of the Questionnaire
- Upload the completed spreadsheet by clicking on the icon with the paperclip

(B) D	n vou have any referra	Larrangements under which you i	nav a referral fee as	at December 31 1	2019 in relation to your	Canadian cliente?

a) No

ob) Yes, we have 100 or less of these referral arrangements - fill in the table below

c) Yes, we have more than 100 of these referral arrangements - fill in the table below the first 100 referral arrangements. Provide information about the remaining arrangements in the spreadsheet provided and attach it below

Please attach the spreadsheet if you have more than 100 referral arrangements under which you pay a referral fee, or if there are more than 10 individuals associated with an arrangement (refer to the question in the table below)

Click on the link below to obtain a copy of the spreadsheet.

https://www.osc.gov.on.ca/documents/en/Dealers/da_20200415_raq-g7-g8-general.xlsx

- -click on the icon with the paperclip to attach your spreadsheet
- -click on the trash can icon to remove the spreadsheet if you need to revise it
- -click on the eyeglasses icon to open the spreadsheet





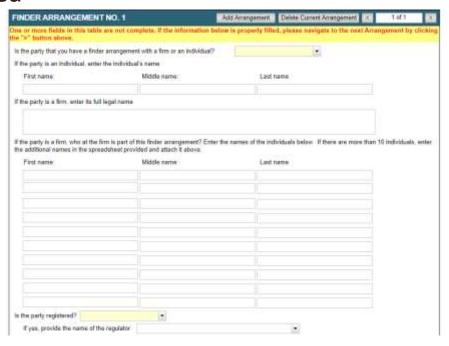
General Section – Finder's Fees

- Provide information about the arrangements under which your firm pays a finder's fee, solicitation fee or similar fee as at December 31, 2019
- This question will be partially pre-populated with any information provided in the 2018 RAQ.
- Ensure that the pre-populated information is accurate, for example:
 - That all the individuals at a firm that are a party to the finder's arrangement are identified. In addition to validating the pre-populated information in the table, you must attach a spreadsheet to provide additional names if there are more than 10 individuals
 - That the pre-populated percentage of finder's fee paid to the finder out of the fee or commission earned from the arrangement is still correct



General Section – Finder's Fees (cont'd)

- Provide information for all finder arrangements in the table illustrated below
- If the table is pre-populated, make sure to add any new arrangements or remove any arrangements that have been terminated





Portfolio Manager Section - Advising vs Dealing

- What is the difference between advising activity and dealing activity and how do I report each type of activity?
- Reporting advising activity
 - where the firm has entered into an advisory agreement (or an investment management agreement) with the clients to provide advisory services to them, this is generally advising activity and should be included in the portfolio manager and restricted portfolio manager section of the Questionnaire
- Reporting dealing activity
 - where the firm is selling/distributing/trading exempt market products to clients that do not have an advisory relationship with the firm, this would most likely be dealing activity that should be captured in the exempt market dealer and restricted dealer section of the Questionnaire.



Portfolio Manager Section – Assets Under Management

- Individuals should include both natural persons and, for example, their personal holding companies
- Some PMs invest their managed account clients in investment funds the PM also manages – to avoid double counting include these only assets in Row A or Row B, depending on the nature of the managed account client

Question P1 - Assets under management

Provide your assets under management (AUM) for your Canadian advisory services as of the dates indicated below. For example, a firm with its principal office in Canada is to provide the AUM for all of its clients, and a firm with its principal office outside of Canada is to provide the AUM for only its Canadian clients.

Enter zero in rows that are not applicable to you.

Type of Client	AUM as at December 31, 2019 (in CAD dollars)	AUM as at December 31, 2018 (in CAD dollars)
Row A. Individuals (refer to definition below)		
Row B. Institutions (refer to definition below)		
Row C. Investment funds where your firm is both the PM and IFM		
(To avoid double counting, exclude from row C the AUM of investment funds that your firm manages and your individual or institutional clients are invested in. For example, if you have AUM of \$1M from your individual managed account clients and that amount is invested in your proprietary investment funds, enter \$1M in row A under "individuals" and enter \$0 in row C under "investment funds where your firm is both the PM and IFM".)		
Total AUM	\$0.00	\$0.00

Individuals are natural persons and their personal holding companies, foundations, or trusts.

Institutions include non-individuals such as third-party investment funds where your firm is the PM to the funds, pension plans, corporations, university endowments, charitable organizations and any other type of client that is not an individual.



Portfolio Manager Section – Assets Under Management (cont'd)

Examples:

- If you have AUM of \$1 million from individual managed account clients, \$1 million from institutional managed account clients, and both are invested in your proprietary investment funds, enter \$1 million in Row A Individuals, \$1 million in Row B Institutions and \$0 in Row C Investment Funds.
- If you have AUM of \$2 million invested in your proprietary investment funds, but units of the funds are distributed by 3rd parties or by you acting as an exempt market dealer, enter \$2 million in Row C and \$0 in both Row A and Row B.
- Refer to additional examples in the Help Page of the PM section



Portfolio Manager Section – Products

- For securities that you invest your clients in:
 - If the investment is in a fund managed by your firm, specify the underlying types of securities held within the investment fund, such as equities or fixed income
 - If the investment is in a fund managed by another party, specify the type of fund (e.g. prospectus qualified funds, exchange traded funds)

Investment product	Approximate percentage of total AUM as at December 31, 2019		
Equities (exchange traded)	%		
Equities (non-exchange traded)	9/		
Fixed income	96		
Prospectus qualified funds (excluding exchange traded funds)	%		
Exchange traded funds	%		
Non-prospectus qualified funds	%		
Cash equivalents	9/		
Other (describe below)	%		
Total	0.00 %		



Portfolio Manager Section – Involvement in Companies

Consider the activities of your registered individuals, your firm's officers, directors, employees and permitted individuals

Question P5 - Involvement in companies

Are you actively involved in the management of the companies you invest in for clients? Check all that apply.

- a) Representation on the board of directors
- b) Direct involvement in the appointment of managers
- c) A say in material management decisions
- d) Other provide details in the comment box below
- e) No not actively involved in the management of companies invested in for clients

Provide details if d) is selected



Portfolio Manager Section – Residency of Clients

 When identifying the number of clients the firm has in each jurisdiction, provide the number of clients, do not provide the number of accounts or the number of client households.

Examples:

- The firm manages accounts for two individuals that are spouses as follows: Both have an unregistered account, both have an RRSP account, a joint account and an account for a holding company. The firm should reflect the client relationship with these two individuals as two clients in the relevant jurisdiction in the Questionnaire.
- The firm manages the accounts for an individual and their family members as follows: The individual has an unregistered account, a RRSP account and an account "in trust" for each of their 3 children. The firm should reflect the client relationship with this individual as **one** client in the relevant jurisdiction in the Questionnaire.



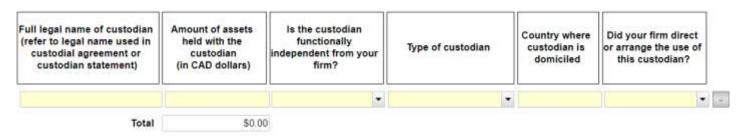
Portfolio Manager Section – Age of Clients

- The definition of "Individuals" in question P1 is "a natural person and their personal holding companies, foundations, or trusts". Therefore, if a client has several different holding companies, foundations or trusts, the firm should count that client relationship once when calculating the percentage of clients over 60.
- Example: A client who is 65 years old has an unregistered account, an account for a holding company and an account for a family trust. This client relationship should be counted as **one** in both the numerator and the denominator when the firm calculates the percentage of individual clients that are 60 years or older



Portfolio Manager Section – Custodian Information

- Provide information for the custodians used by the firm's managed account clients to hold assets in their investment portfolios as at December 31, 2019
- It is important to include the full legal name of the custodian.
- The table allows information for 20 custodians. If your firm's clients use more than 20 custodians, provide the same information for the additional custodians in the Final Overall Feedback comment box at the end of the PM section.



Provide type of custodian and name of its regulator if type of custodian chosen is "Other".



Portfolio Manager Section – Custodian Information (cont'd)

- A custodian would not be considered to be functionally independent from your firm when any of the following apply (although there may be other examples as well):
 - Your firm and the custodian share the same mind and management such that your firm and the custodian would not reasonably be considered to be operating independently
 - The custodial activities are performed by personnel that are not separate from, or are unable to act independently from, personnel of your firm
 - There is a lack of systems and controls to ensure the functional independence of personnel performing the custodial function



IFM Section – Assets Under Management (AUM)

- Report the AUM of investment funds where the firm is the investment fund manager.
- In the case of a fund-of fund structure, the AUM should only be counted once. For Example
 - If the Top Fund (AUM: \$50) is 100% invested in the Bottom Fund (AUM: \$100) and the firm is the IFM for both funds, then the firm should report a total of two funds and AUM of \$100.

Question F1 – Assets under management (AUM)

Α) Are	vou the	investment	fund	manager	for any	prospectus	qualified	funds'
_	<i>) n</i> ic	you uie	miveaument	Iuma	managei	TOT GITT	prospectus	quanneu	lullu3

a) Yes	- cor	mplete	the	table	bel	low
_	,						



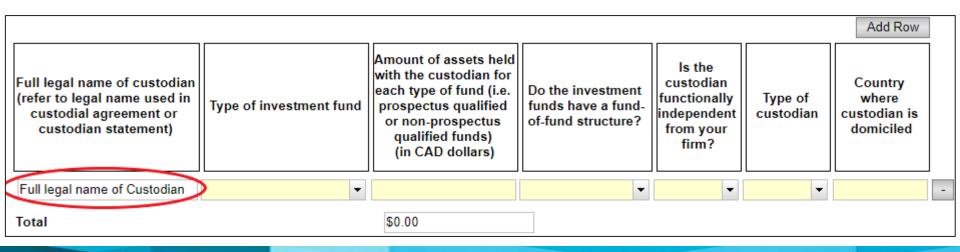
For investment funds that have a fund-of-fund structure, the AUM should only be counted once if you are the investment fund manager of both the top fund and the underlying fund.

Type of fund	Do you manage this type of investment fund? If yes, complete information across the row. If no, skip to the next row.	AUM as at December 31, 2019 (in CAD dollars)	Number of funds as at December 31, 2019	AUM as at December 31, 2018 (in CAD dollars)	Number of funds as at December 31, 2018
Open-end/conventional mutual funds (other than money market funds)	 				
Money market funds	▼				
Closed-end funds	-				



IFM Section – Custodian Information

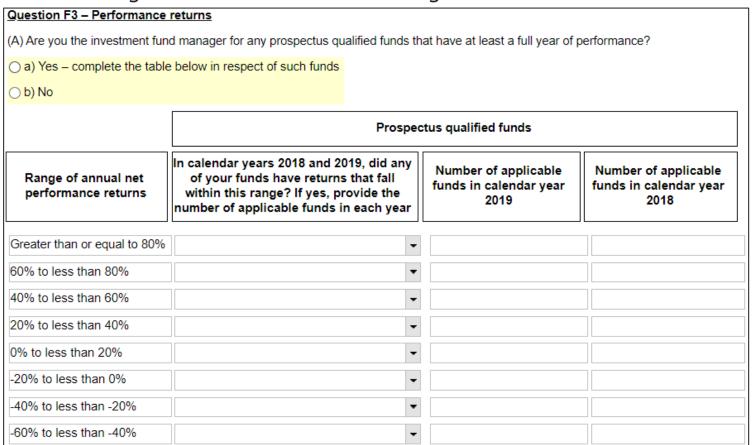
- When completing the Custodian Information it is important for the Firm to include the full legal name of the Custodian.
- The total AUM reported in this question should match the total AUM reported in question F1 (if there are no fund-of-fund structures).
- Up to 20 rows can be added to this question by clicking the Add Row button. If the firm requires more than 20 rows, then that information should be entered into the Final Overall Feedback Box on the last page of the IFM Section.





IFM Section – Performance Returns

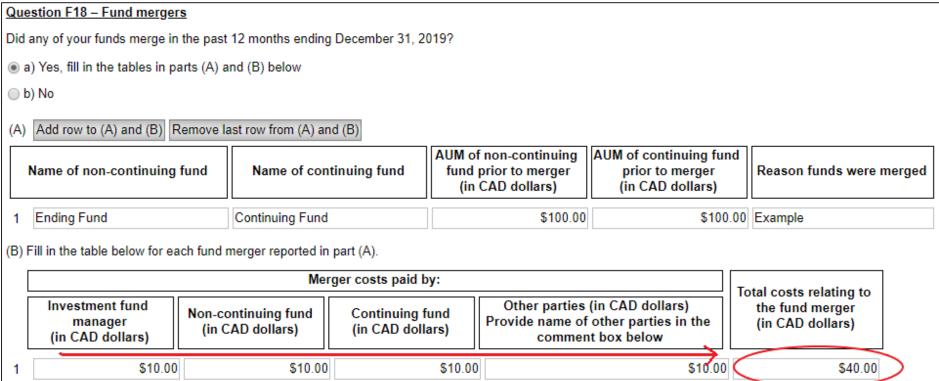
- Performance information should be reported net of fees
 - Report information at the fund level or fund series level
 - If reported at the fund series level, use the fund series that has the greatest assets under management.





IFM Section – Fund Terminations/ Mergers

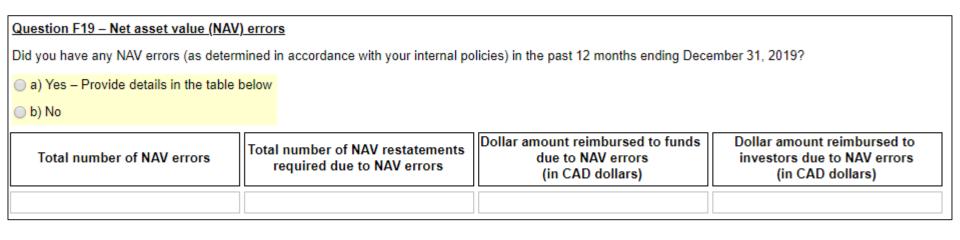
- Up to 15 rows can be added to these questions by clicking the Add row to (A) and (B) button. If the firm requires more than 15 rows, then that information should be entered into the Final Overall Feedback Box on the last page of the IFM Section.
- Questions 17 and 18 on Fund Terminations/ Mergers includes an autosum function.





IFM Section – Net Asset Value (NAV) Errors

- Report NAV errors in the past 12 months ending December 31, 2019.
- Example:
 - An incident occurred that affects the value of a fund over a three-day period. The fund has two classes of securityholders, and NAV is struck daily.
- How should this incident be reported?
 - Report one NAV error and six restatements of NAV.





Exempt Market Dealer and Restricted Dealer Section

- If registered in multiple categories, in this section only respond to your activities as a dealer.
- Respond based only on actual results and activities carried out – theoretical results and future plans can be provided in the **Comment box** at the end of this section.



Dealer Section – Investor Clients and Capital Raised

- Who is an investor client of my firm?
- Who is considered an investor client of my firm during a specific period of time?
 - investor clients are all individual and institutional clients the firm has actively serviced or distributed exempt products to during the two-year period ending December 31, 2019
 - can include both new clients and existing clients who the firm provided ongoing services to or distributed exempt products to during the two years



Dealer Section – Investor Clients and Capital Raised (cont'd)

 provide the number of clients during the review period; not the number of transactions (i.e. if certain clients made more than one purchase during the review period, count only those clients one time)



Dealer Section – Investor Clients and Capital Raised (cont'd)

- What to include in capital raised?
 - generally, capital raised = the total amount of funds raised from the firm's investor clients through the distribution of securities
 - capital raised amount should be the gross amount (including fees, but excluding redemptions)
 - all values should be reported in Canadian dollars (please use a reasonable exchange rate for foreign currencies)



Dealer Section – Revenue

- Include revenue only from dealer activity
- If revenue and expenses are not recorded separately for dealer activities, provide best estimates and include a comment that the figures are estimates and explain why estimates were used



Dealer Section – Related or Connected Issuers

- Meaning of related issuer, influential securityholder and connected issuer
- Definition can also be found in question E9

Question E7 - Investment products - Types of products

Select the types of investment products you have sold/distributed/traded in the last two years ending December 31, 2019, and whether these products are those o your related/connected issuers.

a) Not applicable – do not sell/distribute/trade investment products

(iii) Sell/distribute/trade investment products - provide information in the table below:

Type of Investment Products	(A) Do you sell/distribute/trade the following types of products?	(B) Are these products of your related/connected issuers?
Asset backed securities	▼	▼
Blind pools/capital pool companies	-	▼
Common or preferred shares	-	▼
Contracts for difference	<u>-</u>	▼
Debt securities (e.g. promissory notes, bonds, debentures, etc.)	<u>-</u>	▼
Foreign exchange contracts (forex or FX)	<u>-</u>	▼
Guaranteed debts	<u>-</u>	▼
Life settlements	<u>-</u>	▼
Limited partnerships	-	\



Dealer Section – Types of Business or Industry of Products

 If a product fits multiple categories, select the product's main business or industry – then select Other and describe in comment box

Question E8 - Investment products - Types of business or industry of products

Select the types of business/industry of the investment products you have sold/distributed/traded in the last two years ending December 31, 2019, and whether these products are those of your related/connected issuers. For investment products in multiple businesses/industries (e.g. pooled funds), select the products' main businesses/industries.

- a) Not applicable do not sell/distribute/trade investment products
- b) Sell/distribute/trade investment products please provide information in the following table:

Type of business/industry of the investment products	(A) Do you sell/distribute/trade products of the following types of business / industry?	(B) Are these products of your related / connected issuers?
Financials	-	▼
Energy	▼	▼
Materials	▼	▼
Industrials	▼	▼
Communication services	▼	▼
Information technology	▼	▼
Utilities	▼	▼
Consumer discretionary	-	▼
Consumer staples	▼	▼
Real estate	-	▼
Health care	-	▼
Other - describe in comment box below	-	



Dealer Section – Sales and Trailing Commissions

Generally:

- <u>sales commission</u> any payment in connection with a sale, distribution or trade of a security to a registered firm or registered individual, from any party
- <u>trailing commission</u> any payment related to a client's ownership of a security that is part of a continuing series of payments to a registered firm

Question E16 – Sales commissions						
What is the range of sales commissions that you receive on investment products sold/distributed/traded? Check all that apply.						
a) None - do not receive a sales commission						
□ b) Less than 3%						
□ c) 3% but less than 6%						
☐ d) 6% but less than 11%						
e) 11% or more – list names of issuers in comment box below						
f) Receive other forms of compensation for investment products sold/distributed/traded – please describe below						
g) Not applicable – do not sell/distribute/trade investment products	g) Not applicable – do not sell/distribute/trade investment products					
Question E17 – Trailing commissions						
What is the range of trailing commissions that you receive on the investment products sold/distributed/traded? Check all that apply.						
a) None – do not receive a trailing commission						
b) Less than 2%						
□ c) 2% but less than 5%						
d) 5% or more						
e) Not applicable – do not sell/distribute/trade investment products		_				



Part 4: Resources

Part 4: Resources 57



Resources

- FAQ and User Guide (accessible by clicking the icon on the tool bar of the form)
 FAQ & User Guide
- Help Page in each section of the Questionnaire (accessible by clicking the icon on the tool bar of each form)
- Email us at <u>ComplianceSurvey@osc.gov.on.ca</u>
- Call one of the contact people listed on the Home Page of the Questionnaire

Part 4: Resources 58



COVID-19 Survey

- Gather information to better understand the impact of COVID-19 on registrants' operations
- Survey period January 1, 2020 to June 30, 2020
- Number of questions and data points are kept to a minimum as we are mindful of the resources required to complete both the Questionnaire and the Survey
- Not all questions are applicable to you. It depends on your registration categories and business models
- Survey will be issued on July 9, 2020 with a due date on August 6, 2020



COVID-19 Survey

- Survey will be sent to PR firms domiciled in Ontario and to some firms where we are not the principal regulator because we are collecting this information for them
- Unlike the Questionnaire, you must complete the Survey in one single sitting
- The Survey form does not have the save or print function
- We will provide a copy of the survey in WORD format as your working copy. Use the working copy to gather your information first before entering the information into the Survey form. Keep the working copy as your record
- Instructions to complete and submit the survey will be provided



Questions?