

2020 Risk Assessment Questionnaire

FAQs and User Guide

The logo for the Ontario Securities Commission (OSC) features the letters "OSC" in a white, bold, sans-serif font, centered within a dark teal square background.

OSC

O N T A R I O
S E C U R I T I E S
C O M M I S S I O N

Ontario Securities Commission 2020 Risk Assessment Questionnaire

Frequently Asked Questions and User Guide

The Compliance and Registrant Regulation Branch of the Ontario Securities Commission (OSC) has developed a list of frequently asked questions (FAQs) and a User Guide to help you complete the 2020 risk assessment questionnaire (Questionnaire).

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

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1. How do I access the Questionnaire?

Please refer to the section “[Getting Started](#)” within the User Guide to create an Okta account. Once an Okta account has been created you can access your firm’s Questionnaire by navigating to the following URL:
<https://eforms1.osc.gov.on.ca/e-fillings/raq2020/>.

2. What is the purpose of the Questionnaire?

The Questionnaire is used to gather information about the business operations, practices and procedures of firms registered with the OSC. The information collected is used to support our oversight activities and evidence-based decision making.

3. Do I have to complete the Questionnaire?

Yes, it is mandatory that all registered firms complete and submit the Questionnaire. Regardless of whether you are relying on each of your registration categories for your current business activities, **if you are registered** in any of the categories, you must complete the related section of the Questionnaire, as well as the general section. If your firm was recently registered, respond to each question to you best of your ability with the information you have available, and provide comments where applicable.

4. How do I complete the Questionnaire?

Refer to the section titled “[Basics for Completing the Questionnaire](#)” within the User Guide for detailed instructions on how to complete the Questionnaire. In addition, a “**Help Page**” has been provided in each section of the Questionnaire containing further guidance on how to respond to specific questions.

5. What certifications are required to complete our submissions?

Included at the beginning of each section of the Questionnaire, are two attestation statements pertaining to the information being provided. Electronic certification acknowledging the attestation statements must be completed by your **UDP** in order to submit that section of the Questionnaire.

6. Why do some questions in my Questionnaire have pre-populated answers?

Certain questions in the Questionnaire have been pre-populated with the firm’s response to the 2018 risk assessment questionnaire (**2018 Questionnaire**). Please refer to the section “[Pre-populated responses](#)” within the User Guide for more information.

7. I am having difficulty accessing/completing the Questionnaire. What should I do?

Review the section in the User Guide titled “[Accessing the Questionnaire](#)”. In particular, keep the following in mind:

a. The URL link is case sensitive

Rather than typing the URL link into your browser, click the hyperlink or copy and paste the entire link into the Internet address line to avoid typing errors.

b. Close all open browser windows

We recommend you close all open browser windows and begin a new browser session to access the Questionnaire.

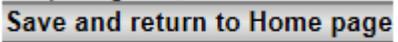
c. Ensure your internet browser is compatible

Use Google Chrome as the recommended browser.

Other supported browsers (Microsoft Internet Explorer 10 or 11, Mozilla Firefox, Apple Safari, Microsoft edge)

d. Save the Questionnaire frequently to avoid timing out

Save your work in progress every 15 minutes to minimize the impact of any

Internet disruptions. You can do so by clicking the  button located in the navigation bar.

After **120 minutes of inactivity**, your browsing session will expire and **any unsaved data will be lost** – the Questionnaire will remain open and only when you click on Save will there be a notice that the session has expired.

If you're still having difficulty, refer to the '**How to contact us**' section on the Home Page. Contact one of the staff listed for assistance.

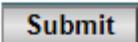
8. What should I do if the choices for a response do not adequately describe our business operations?

The responses are designed to apply to the majority of registered firms and may not cover all situations. If this is the case, select the response that best describes your business and provide an explanation in the comment box provided. If additional space is required, use the '**Final Overall Feedback**' comment box located on the final page of each section of the Questionnaire. Please specify the question your comments are applicable to.

9. What if my firm is located outside of Canada, but is registered with the OSC – do I provide information about our worldwide operations?

Responses to questions in the general section of the Questionnaire should be based on your firm's global operations. In contrast, responses to questions in all other sections of the Questionnaire should include information related **only** to your firm's Canadian operations.

10. How do I submit the Questionnaire?

The  icon is located within the navigation bar on the **final page** of each section of the Questionnaire. You must complete each section of the Questionnaire independently and submit your responses by clicking the "Submit" icon.

Please ensure that you save your responses immediately prior to attempting to submit. Doing so will avoid any data being lost should you encounter any issues during the submission process.

Please also ensure that you are satisfied with your responses prior to clicking the “Submit” icon. Once a section of the Questionnaire has been submitted, the section is locked for editing - preventing users from making any changes to responses in that section.

11. I am unable to submit my Questionnaire. What should I do?

You will not be able to submit your Questionnaire if you have not completed **all** the questions, including: required information in comment boxes, certifications by your UDP, and required attachments. The system will prevent you from submitting the Questionnaire if it detects any fields with missing information.

Attempting to submit a section of the Questionnaire without completing all mandatory fields will result in the user being automatically redirected to the fields requiring input. If multiple mandatory fields are not completed, the system will continue to redirect the user to each field in sequential order after attempting to submit the Questionnaire again.

Mandatory fields are highlighted in yellow and will remain highlighted until the user inputs a response. Fields will turn red if you have entered an invalid/inappropriate response to the question, including a field in a table. When a field turns red, a related message will be shown explaining why the response was invalid or not permitted.

Refer also to the “[Troubleshooting](#)” section of the User Guide for assistance.

12. How do I know if the OSC has received my completed Questionnaire?

A confirmation will appear on your screen to inform you that you have successfully submitted the applicable section of the Questionnaire to the OSC, including an identification number of the submission for your future reference. In addition, when returning to the home page, the “**Status**” column within the status table for the applicable section of the Questionnaire should read: ‘**SUBMITTED**’.

13. Why did I not receive my submission confirmation?

You should receive a confirmation indicating that the OSC has received your response to a section of the Questionnaire shortly after you click the ‘Submit’ icon. However, if the server is busy, you may experience a delay in receiving your confirmation. Do not close the browser until you receive your confirmation with an identification number; this process may take up to a few minutes. If after 5 minutes you do not receive a confirmation, close your browser session, re-open the applicable section of the Questionnaire, and attempt to submit the section once again.

14. Will the information submitted be kept confidential?

Subject to section 153 of the *Securities Act* (Ontario), information that you provide to the OSC in the Questionnaire will be treated in strict confidence to the fullest extent

permitted by law. However, the OSC is subject to the *Freedom of Information and Protection of Privacy Act (FIPPA)*. Therefore, it is possible that this information could be requested under the *FIPPA*.

Although the *FIPPA* protects business information that has been supplied to an institution in confidence, the final decision on whether information falls within the relevant exemption provisions resides with the Information and Privacy Commissioner. Before any information could be disclosed under an access request, you would be notified and given the opportunity to make written submissions on whether or not the information should be disclosed.

15. Who do I contact if I have questions?

Email us at: ComplianceSurvey@osc.gov.on.ca should you have any questions.

Alternatively, contact any one of the individuals listed below:

Portfolio Manager Team

Scott Laskey Senior Accountant 416-263-3790	Vanesa Pavlovski Accountant 416-597-7207	Eugenie Chung Accountant 416-597-7223
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Investment Fund Manager Team

Estella Tong Senior Accountant 416-593-8219	Daniel Brown Accountant 416-593-2353	Paul Bertucci Accountant 416-593-8159
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Dealer Team

Susan Pawelek Senior Accountant 416-593-3680	Mark Delloro Accountant 416-597-7225	Vincent Chow Accountant 416-593-8127
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Part B - User Guide

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ABOUT THE USER GUIDE

The User Guide provides you with detailed instructions of how to access, navigate, complete, and submit your responses to each section of the Questionnaire. In addition, other helpful information and troubleshooting instructions are provided.

GETTING STARTED

Create and register an Okta account

1. The URL link below will direct you to create an Okta account. Through this account you will be able to access your firm's Questionnaire.

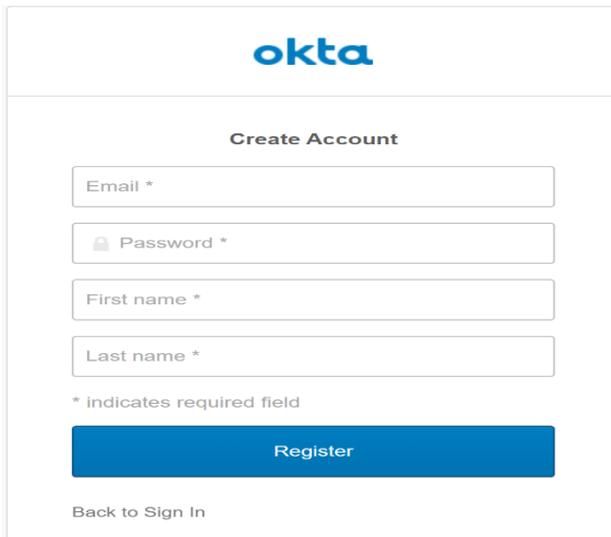
Click on this link to open the registration dialog box.

<https://oscraq2020.okta.com/signin/register>

Google Chrome is the recommended browser (Google Chrome 46 and future fix packs)

Other supported browsers:

- Microsoft Internet Explorer 10 or 11
 - Mozilla Firefox 43 and future fix packs
 - Mozilla Firefox ESR 38 and future fix packs
 - Apple Safari 8.0 and future versions
 - Microsoft edge 44 and future fix packs
2. On the registration dialog box, enter the following information:
 - a. Email address (CCO's email address reported on NRD)
 - b. First and Last name
 - c. Password must be.
 - i. At least 8 character(s)
 - ii. At least 1 number(s)
 - iii. At least 1 lowercase letter(s)
 - iv. At least 1 uppercase letter(s)
 - v. Does not contain part of username



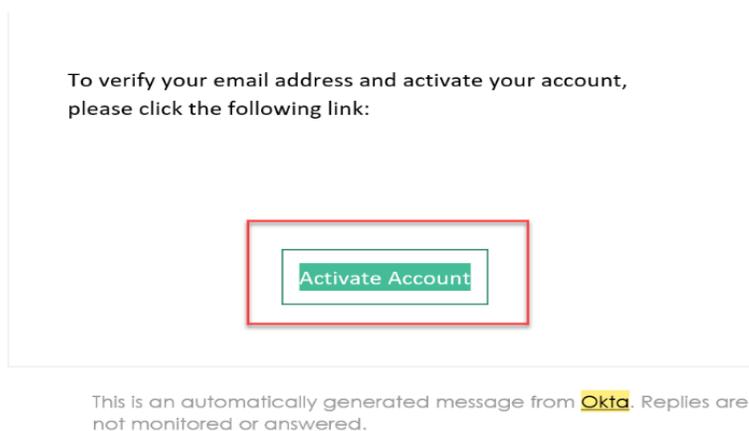
The image shows the Okta 'Create Account' registration form. At the top is the Okta logo. Below it is the title 'Create Account'. The form contains four input fields: 'Email *', 'Password *' (with a lock icon), 'First name *', and 'Last name *'. Below the fields is a note: '* indicates required field'. At the bottom of the form is a blue 'Register' button and a link for 'Back to Sign In'.

Click on the “**Register**” button. An email verification from OKTA will be sent to the email address that you provided.

Activate account and set-up account security

3. Open the email received after registration, click on “**Activate Account**” to redirect you to the OSCRAQ2020 Okta page to confirm the account.

From this page you are required to create a **security question and select a security image**.



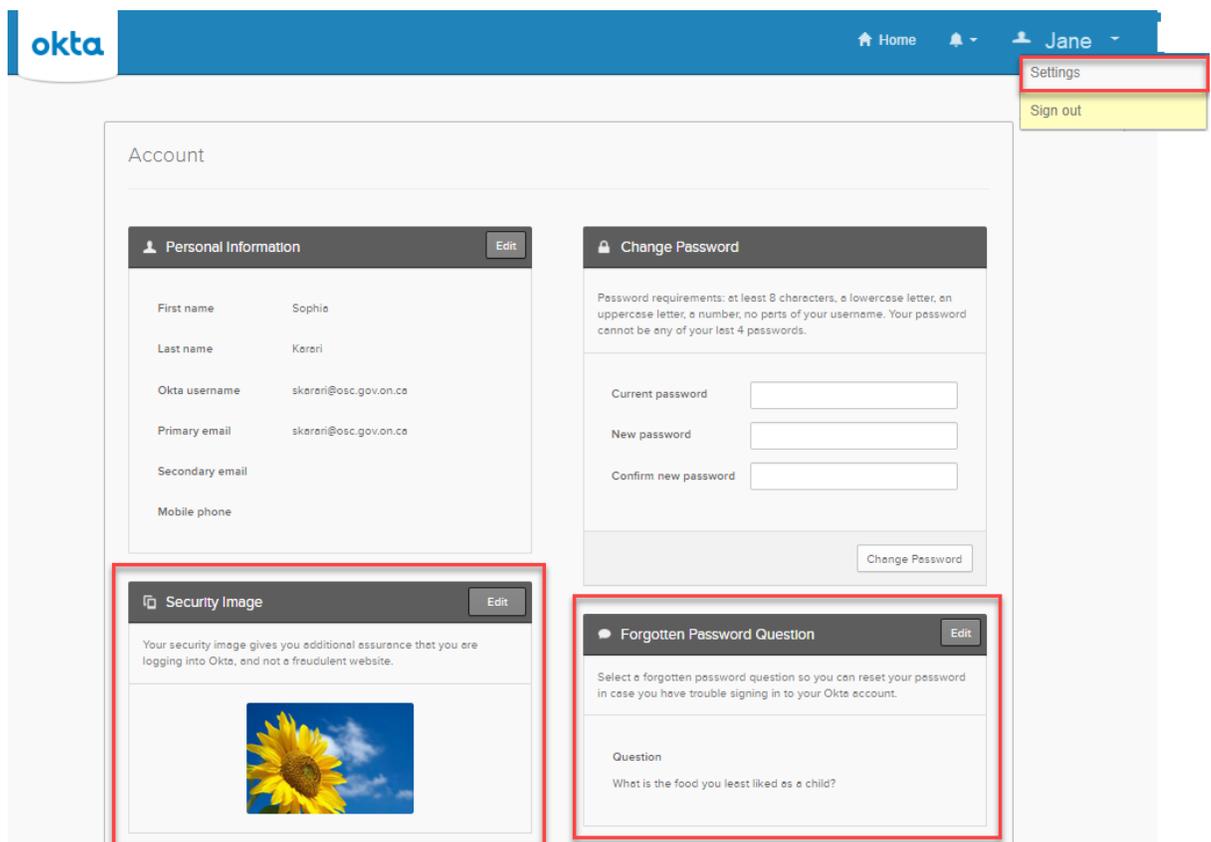
4. Navigate to the top right of the page where the username is located. Click on the dropdown and select **Settings** as shown. From the settings page you will need to provide.
 - Forgotten password question (*Select a forgotten password question so you can reset your password in case you have trouble signing in to your Okta account.*)

- Security Image (*Your security image gives you additional assurance that you are logging into Okta, and not a fraudulent website.*)



5. Click on “**Forgotten Password Question**”

- Select a question from the list
- Input an answer and click **Save**



6. Click on “**Security image**”

- Select an image of your choice and click **Save**

7. Next, click on the Sign out button to exit the page

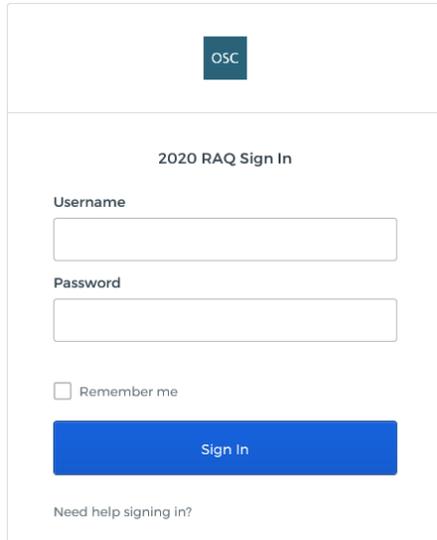


Accessing the Questionnaire

1. You must access the Questionnaire using the URL link provided below:

<https://eforms1.osc.gov.on.ca/e-fillings/raq2020/>

A user can access the Questionnaire by simply clicking on the hyperlink provided or copying and pasting the URL link into a browser window. If successful, the user should be directed to the 'Sign in' page of the Questionnaire which looks like this:



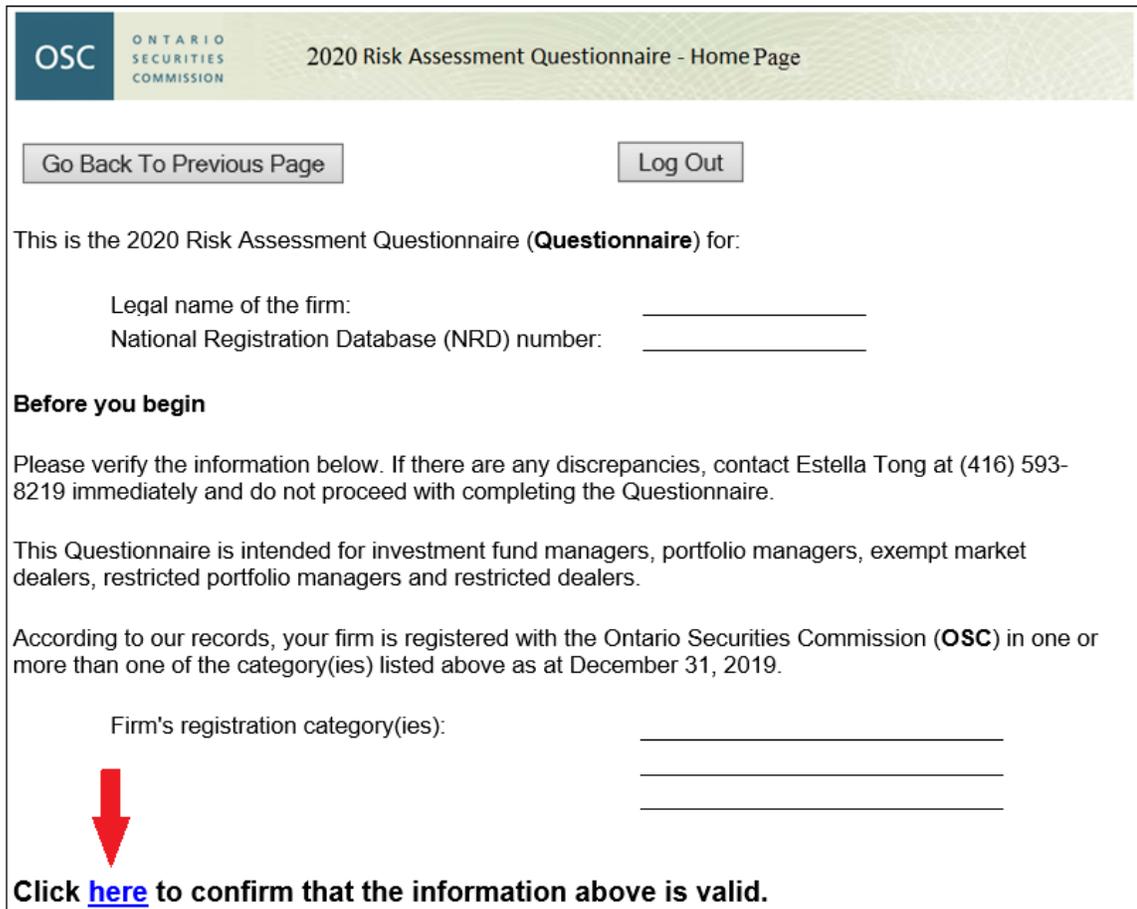
2. On the Sign in page, enter your **username and password**
 - a) Username – CCO's email address
 - b) Password – password created
3. Once logged in to the account you will see a table that displays your firm's name and the NRD number. Click the Filing button to access the Home Page of the firm's Questionnaire.



NRD Number	Firm Name	Filing For This Firm
1234	FIRM A	Filing

Click [Here](#) to Logout your session.

4. As noted in the diagram below, users are asked to confirm that the pre-populated information (Legal name of the firm, firm NRD #, and registration category(ies)) about the firm is accurate before proceeding with completing the Questionnaire. A user is required to provide confirmation by clicking on the highlighted link in the below diagram. If there are any discrepancies, please contact us immediately.



OSC ONTARIO SECURITIES COMMISSION 2020 Risk Assessment Questionnaire - Home Page

Go Back To Previous Page Log Out

This is the 2020 Risk Assessment Questionnaire (**Questionnaire**) for:

Legal name of the firm: _____
National Registration Database (NRD) number: _____

Before you begin

Please verify the information below. If there are any discrepancies, contact Estella Tong at (416) 593-8219 immediately and do not proceed with completing the Questionnaire.

This Questionnaire is intended for investment fund managers, portfolio managers, exempt market dealers, restricted portfolio managers and restricted dealers.

According to our records, your firm is registered with the Ontario Securities Commission (**OSC**) in one or more than one of the category(ies) listed above as at December 31, 2019.

Firm's registration category(ies): _____

 Click [here](#) to confirm that the information above is valid.

Reaccessing the Questionnaire

After ending a previous browser session, a user can reaccess the most recently saved version of the Questionnaire by logging into their Okta account and accessing the Home Page once again.

120-minute inactivity limit

After 120 minutes of inactivity, your browsing session will expire and any unsaved changes will be lost. To continue, you will need to re-open the Questionnaire using the original link provided.

Remember to save your responses frequently and before you leave your computer!

Questionnaire reset password instructions

1. To reset your password navigate to the Questionnaire Sign in page as shown below and click on “**Need help signing in?**”
2. Next click on “**Forgot Password?**” to launch the forgot password page.

OSC

2020 RAQ Sign In

Username

Password

Remember me

Sign In

Need help signing in?

Forgot password?

Help

3. On this page enter your email address as shown below and click “**Reset via Email**”.

OSC

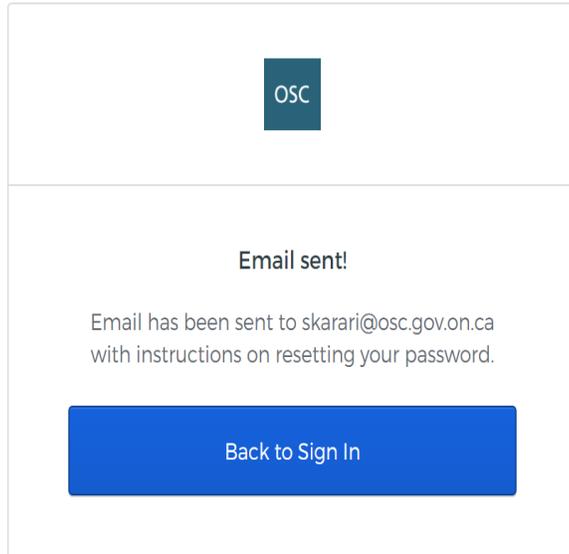
Reset Password

Email or Username

Reset via Email

Back to Sign In

4. An email with a reset instruction will be sent to your mail.



5. Navigate to your email and open the Reset email from Okta.
6. From the email, click on “**Reset Password**”.



7. Answer the prompt questions based on the security options you set up on account sign-up.




Answer Forgotten Password Challenge

What is the food you least liked as a child?

 Show

[Back to Sign In](#)

8. On the next page enter a new password.




Reset your Okta password

Password requirements: at least 8 characters, a lowercase letter, an uppercase letter, a number, no parts of your username. Your password cannot be any of your last 4 passwords.

New password

Repeat password

[Sign Out](#)

9. Next - Login as required.

BASICS FOR COMPLETING THE QUESTIONNAIRE

Applicable sections

All Registrants are required to complete the ‘General’ section of the Questionnaire along with each section that is applicable to their OSC registration category(ies). The status table presented on the Home Page notes all sections that are applicable to your firm and that require submission. Firms should refer to the status table to identify sections of the Questionnaire that have appropriately been completed and those that remain outstanding.

The status table will indicate 1 of 3 states for each section as follows:

In Progress	Denotes that the firm has inputted and saved certain responses in the specified section of the Questionnaire
Submitted	Denotes that the firm has successfully submitted responses in specified section of the Questionnaire
Not started	Denotes that the firm has not commenced providing responses in the specified section of the Questionnaire

For example, the status table below indicates that the firm has successfully submitted responses to the General section, the PM section is in progress, and that, responses to the IFM and EMD sections remain outstanding.

Sections of the Questionnaire	Click on the icon to open the section	Status	Last updated on
General Section - Questions for All Registrants		Submitted	2020-05-27 08:34:38.02
Portfolio Manager and Restricted Portfolio Manager Section		In Progress	2020-05-27 08:35:40.69
Investment Fund Manager Section		Not Started	N/A
Exempt Market Dealer and Restricted Dealer Section		Not Started	N/A

Pre-populated responses

As part of OSC’s burden reduction initiatives, we have pre-populated certain fields in the Questionnaire. If your firm has completed the 2018 Questionnaire, certain questions in your 2020 Questionnaire will be pre-populated. Those questions that have few or no year over year changes will be pre-populated.

For example, we have pre-populated the non-financial information in the question that asks you to provide details regarding your referral arrangements (question G7 in the GENERAL section). You are not required to re-enter details of each arrangement that you had previously entered into the 2018 Questionnaire. However, the financial information associated with each referral arrangement has not been pre-populated as this information is expected to have changed and must be entered.

You must review the pre-populated responses and where necessary make changes when the answers no longer accurately describe the firm’s current situation or practices.

Providing certifications

Attestation statements are included at the beginning of each section of the Questionnaire. Electronic certification acknowledging the attestation statements must be completed by your UDP. The following attestation statements are presented at the beginning of each of the General, PM, IFM and EMD sections.

Certification	
This certification must be completed by your ultimate designated person.	
<input type="checkbox"/>	I acknowledge that some questions in the "General Section: Questions for all Registrants" of the 2020 Risk Assessment Questionnaire were pre-populated with the firm's 2018 responses. I certify that I have reviewed and updated where necessary all pre-populated fields.
<input type="checkbox"/>	I certify that I have reviewed our responses to the "General Section: Questions for all Registrants" of the Risk Assessment Questionnaire completed by our firm. To the best of my knowledge, the responses are complete, accurate, free from any misstatements, and not misleading in any respect.
Name:	<input type="text"/>
Phone number:	<input type="text"/>
Date:	<input type="text"/>

Note – Responses will not be accepted unless UDP certification is provided

GETTING AROUND & FUNCTIONALITY

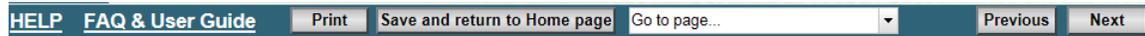
Home Page

Each time a user accesses the Questionnaire using their Okta account, they will be directed to the ‘Home Page’. This page includes firm-level information, items you need to know, due dates and the status table. A user must click on the following icons (located within the status table) to open:

- a section of the Questionnaire for completion or printing – the  icon
- a section of the Questionnaire for viewing or printing after submission - the  icon

How to...Navigate, Save, Print, View

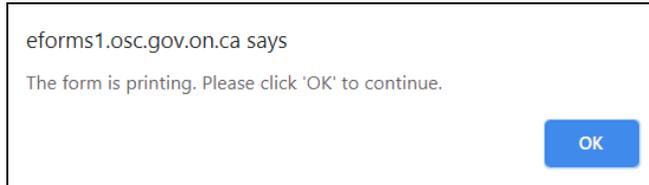
The following Navigation Bar is at the top of each page within all sections of the Questionnaire.



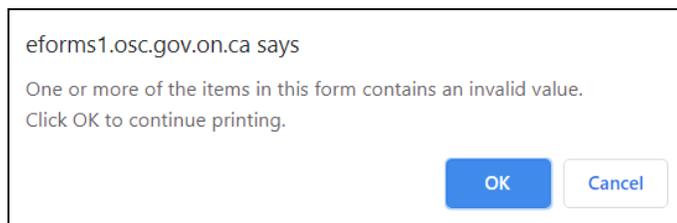
Use the available links/buttons on the navigation bar to access specific documents or navigate throughout the Questionnaire, and save, print and submit responses.

Functionality of each link/button is as follows:

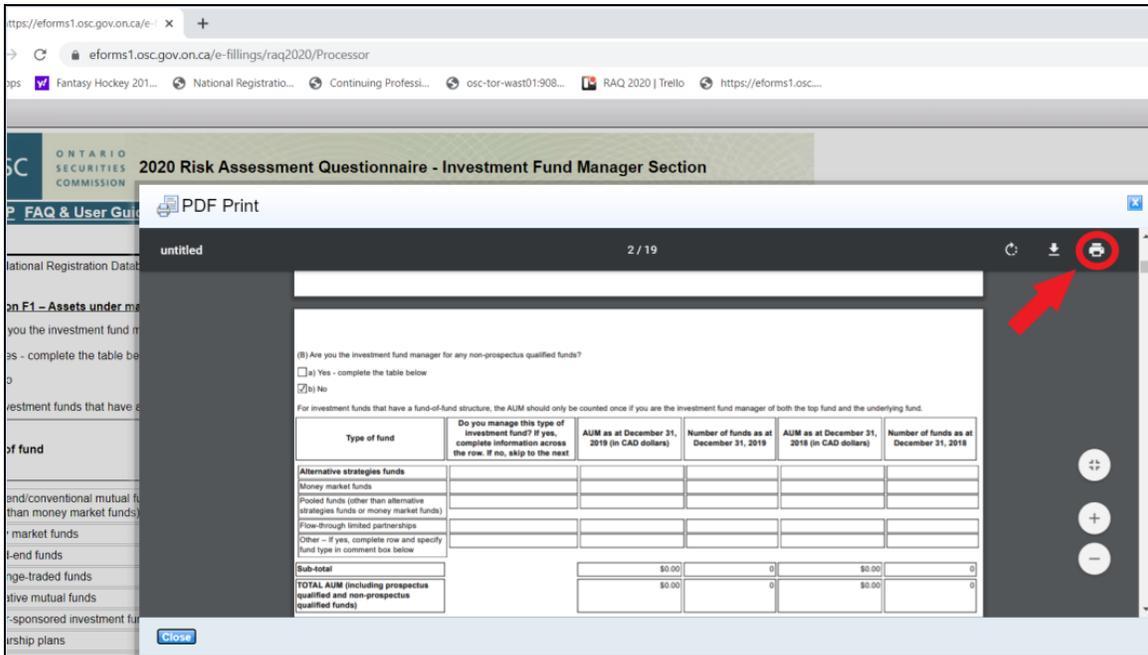
- Clicking the **HELP** link will present the user with a document providing guidance on how to provide responses to specific questions within that section of the Questionnaire (each section of the Questionnaire contains a tailored help page).
- Clicking the **FAQ & User Guide** link will provide the user access to the FAQ & User Guide.
- The **Print** button allows the user to print a hard copy of the section of the Questionnaire currently accessed. A user can print a section of the questionnaire at any time (i.e. before, during or after completion). A notification will appear advising that the form is printing. The user must click “OK” for the process to continue.



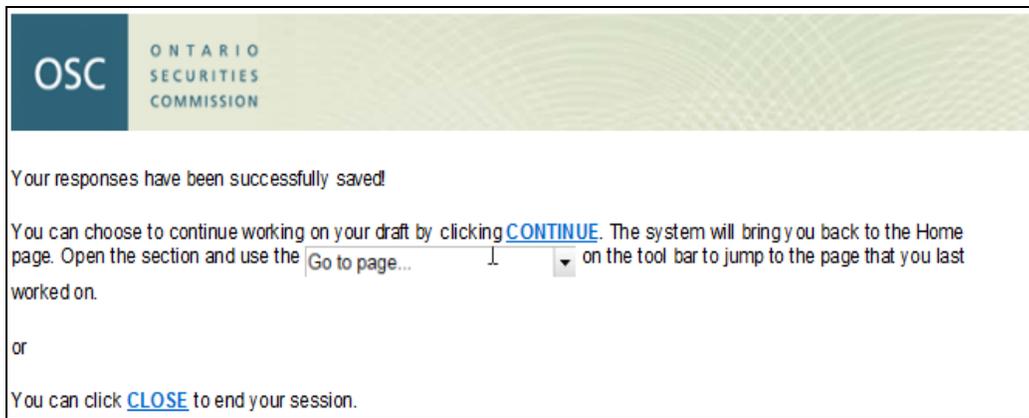
- A notification will then appear if any information entered in that section of the Questionnaire is incomplete or invalid. The user must click “OK” for the process to continue.



- The user can then click the print button highlighted below.

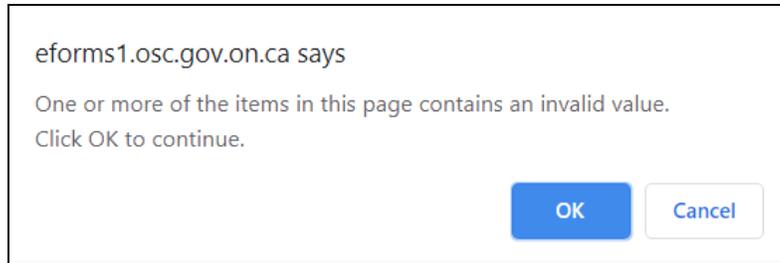


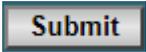
- The user should first print the Questionnaire to a PDF and then print the PDF document if they wish to have a hard copy of the Questionnaire. If the Questionnaire is printed to hard copy without first generating a PDF document the edges of the Questionnaire may be cut off.
- The **Save and return to Home page** button will save all information the user has entered. After successfully saving, the user will be redirected to the following page where they can select to continue working on the same section (or a different section) of the Questionnaire or end their browsing session.



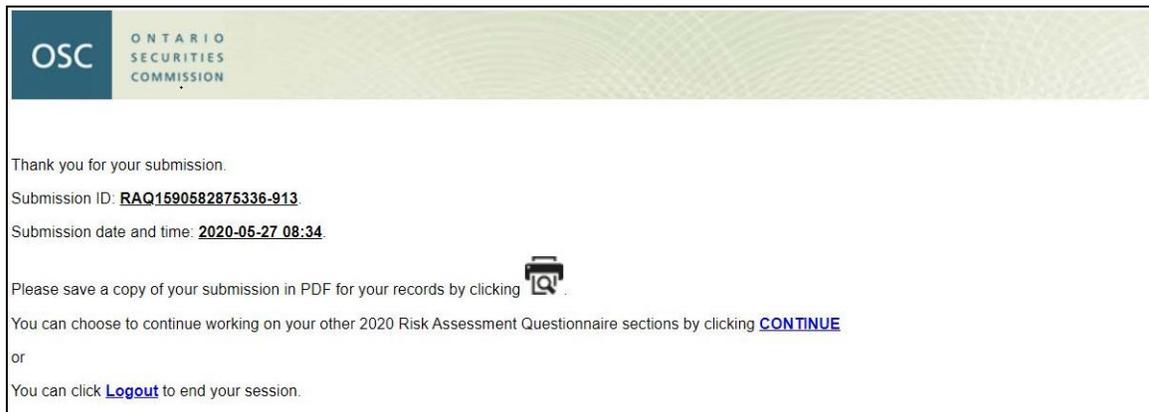
- The **Go to page...** is a drop-down menu that allows a user to select and navigate to a specific page within the section of the Questionnaire.
- The **Next** and **Previous** buttons allow a user to navigate forward and back, one page at a time, within each section of the Questionnaire.

- If the user attempts to navigate away from the current page while there is still missing or invalid text within one of the fields, the below message will appear. The user can click “OK” to continue navigating to another page or click “Cancel” to remain on the current page.



- The  button allows a user to submit the firms’ responses to the specific section of the Questionnaire (**Note** – the submit button will populate and only be accessible on the **last page** within each section of the Questionnaire).

Please ensure that you save your responses immediately prior to attempting to submit. Doing so will avoid any data being lost should you encounter any issues during the submission process. **Please also ensure that you are satisfied with your responses prior to clicking the “Submit” icon.** Once a section of the Questionnaire has been submitted, the section is locked for editing - preventing users from making any changes to responses in that section. Upon successfully submitting a section, the user will see the following confirmation page:



Receiving your identification number

A unique submission identification number will be generated for each submission made. If the server is busy, there may be a delay in receiving your confirmation - this could take up to a few minutes. Do not close the browser until you receive your confirmation containing your submission identification number. Once you receive your confirmation,

make sure to save a copy of your submission by clicking the  icon within the confirmation page.

If after 5 minutes you do not receive a confirmation, close your browser session, re-open the applicable section of the Questionnaire, and attempt to submit the section once again.

TYPES OF QUESTIONS

This section provides you with examples of the types of questions you will come across in the Questionnaire. Depending on how the question is asked, users are prompted to provide responses by selecting from prepopulated responses, inputting text (e.g. a dollar amount) or selecting from prepopulated responses via a drop-down menu. In addition, users may need to provide sets of data in table and/or spreadsheet format. The following examples have been provided for reference:

Multiple choice question (requiring only one response)

Responses provided by a user appear as shaded round buttons. These questions restrict the user in selecting **only** one choice from the available responses.

OSC ONTARIO SECURITIES COMMISSION

2020 Risk Assessment Questionnaire - General Section

HELP FAQ & User Guide Print Save and return to Home page Go to page... Previous Next

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Question G6 – Excess working capital calculation

(A) Has your firm's excess working capital (as calculated using **Form 31-103F1**) been less than zero at any time in the last two years ending December 31, 2019 (including a deficiency that was rectified within 48 hours)?

a) Yes - provide details in comment box below

b) No

Multiple choice question (requiring one or more responses)

A user can select **one or more choices** by clicking on each response applicable to the firm. For instance, in the following example, you can specify all responses from a) through i) as applicable. However, if you were to select box “j) Not applicable – we do not do any of the above”, you will not be able to select boxes a) through i). If you select box “j) Not applicable – we do not do any of the above” in error, you must click on it again to deselect the response before you are permitted to select any of the other boxes a) through i).

OSC ONTARIO SECURITIES COMMISSION

2020 Risk Assessment Questionnaire - General Section

HELP FAQ & User Guide Print Save and return to Home page Go to page... Previous Next

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Question G9 – Cybersecurity

Does your firm do any of the following? Check all that apply.

- a) Conduct risk assessments to identify cybersecurity threats, vulnerabilities and potential consequences
- b) Use antivirus software
- c) Require passwords to gain access to computers and other mobile devices
- d) Back up data on a daily basis
- e) Use cloud services (e.g. iCloud or Dropbox)
- f) Include cybersecurity within due diligence exercise when engaging a third party service provider (i.e. custodians, sub-advisers, etc.)
- g) Maintain cyber-insurance coverage
- h) Use encryption on all computers, tablets, smartphones and other electronic devices used to access client information
- i) Have a response plan for a cybersecurity incident
- j) Not applicable - we do not do any of the above

Multiple field question

Certain questions require multiple responses in text form. Fields highlighted in yellow are mandatory. For instance, in the example below the entire chart is highlighted in yellow and a user must make an entry in each highlighted field. You must enter zero in the rows and/or columns that are not applicable to the firm, so the system can confirm that you have completed the question.

To move to the next field, use the mouse or press the **Tab** button on your keyboard. Do not use the **Enter** button.

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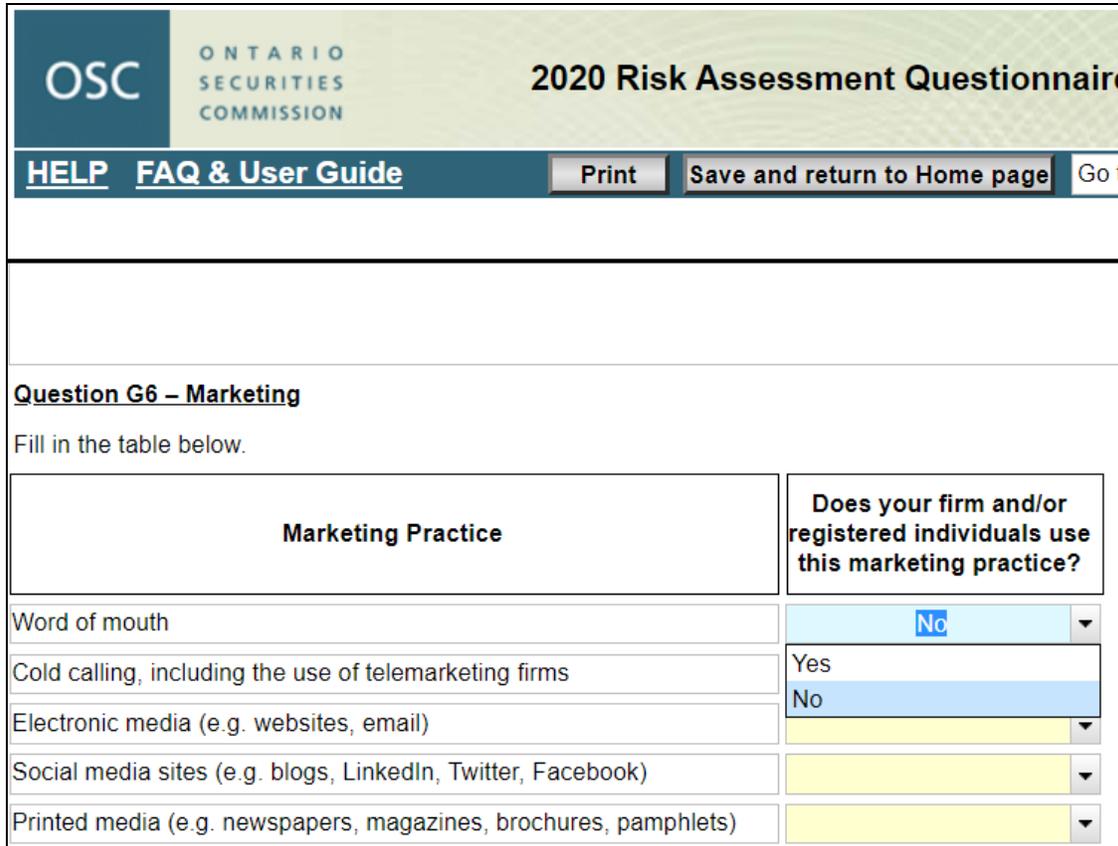
(B) For those accounts where you have discretionary trading authority, what type of securities (investment products) do your clients hold in them?

Enter zero in rows that are not applicable to you.

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

Multiple field question (with drop-down menus)

In this type of question, you must use the drop-down menu to select your response. Click on the inverse triangle to open the drop-down menu and select the most appropriate response.



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Question G6 – Marketing

Fill in the table below.

Marketing Practice	Does your firm and/or registered individuals use this marketing practice?
Word of mouth	No
Cold calling, including the use of telemarketing firms	Yes No
Electronic media (e.g. websites, email)	
Social media sites (e.g. blogs, LinkedIn, Twitter, Facebook)	
Printed media (e.g. newspapers, magazines, brochures, pamphlets)	

Multiple part question

Certain questions are separated into parts (e.g. Part A and Part B) and, in other instances, certain questions have been grouped. Responses between parts of the same question or, between groups of questions, may be **interdependent** of one another. A user must ensure that all responses are in agreement. In the following example a user has indicated a “Yes” response to Part A of the question, and as a result, must insert details into the comment box below Part A and answer Part B of the question as well. In this case, option f) would not be a valid response to Part B given the response to Part A of the question. Should a user attempt to select option f) as a response, an error message will be illustrated.

Question P4 - Related or connected issuers

(A) Do you advise clients in securities of any **related** or **connected issuers**? For example, do your clients' accounts hold units of investment funds that your firm manages, or securities of companies you are related or connected to through ownership or a relationship?

- a) Yes - provide the name(s) of the issuer(s) and how each issuer is related or connected to you in the comment box below
- b) No - we have related and connected issuers, however we do not advise clients on any of these issuers
- c) Not applicable - we do not have any related or connected issuers

Provide names of related or connected issuers and nature of relationship

B) If you advise clients in securities of **related** or **connected issuers**, how are these securities distributed? Check all that apply.

- a) We distribute using our dealer registration
- b) We distribute by relying on the exemption available under section 8.6 of NI 31-103
- c) Related party dealers
- d) Third party dealers
- e) Other - provide details in the comment box below
- f) Not applicable - we do not advise clients in any related or connected issuers

Tables (requiring data input)

Certain questions require that responses be provided in table format. The user will be required to input data in various cells within a table. Cells requiring input will be highlighted in yellow. For instance, the following example requires that the user provide various inputs specific to each third party issuer product listed.



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Question E10 – Investment products – Top 10 third party issuer products

If (a) or (b) in Question E9 was selected, you will not be required to answer this question. If you select (c) or (d) in Question E9, proceed with responding to this question.

For the third party issuer products that you have sold/distributed/traded, provide details in the table below about the top 10 products for which you raised the most capital and the corresponding revenue in the last two years ending December 31, 2019.

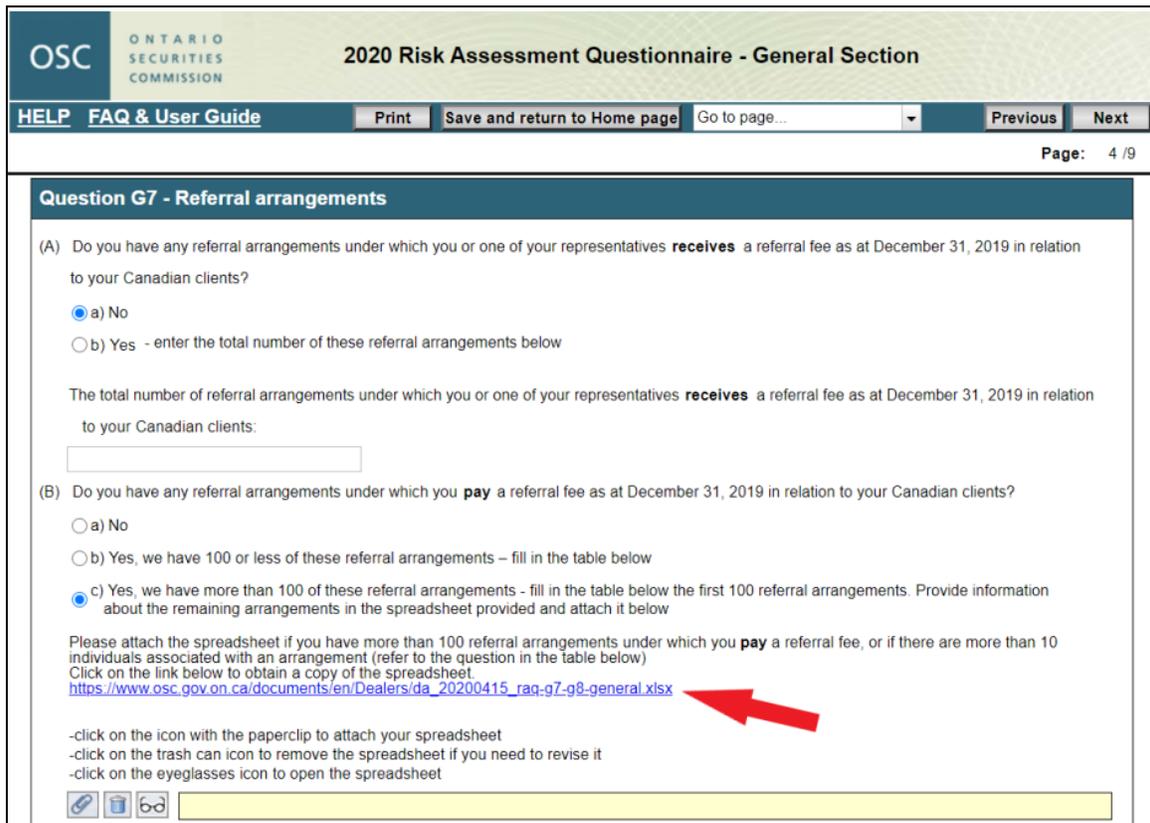
Product name of third party issuer	Amount of capital raised	Amount of revenue earned	Type of product	Type of business/industry
ABC Product #1	\$50,000.00	\$5,000.00	Common or preferred share	Financials
ABC Product #2	\$30,000.00	\$1,000.00	Limited partnerships	Real estate
ABC Product #3				
Total Capital Raised		\$80,000.00		
Total Revenue Earned		\$6,000.00		

By clicking the icon located above the table, a new row will be added allowing a user to submit another entry (i.e. in the above example ABC Product #4).

By clicking the  icon located to the right of each row, the user can delete the specific entry in the row selected. Note that a user will be required to re-enter all data within a row should the row be deleted in error.

Spreadsheets (requiring data input)

Specifically, questions **G7** and **G8** in the “General” section of the Questionnaire may require firms to download preformatted spreadsheets to input responses. The required spreadsheets can be downloaded by clicking on the highlighted hyperlink (as illustrated in the image below) located within questions G7 and G8.



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Question G7 - Referral arrangements

(A) Do you have any referral arrangements under which you or one of your representatives **receives** a referral fee as at December 31, 2019 in relation to your Canadian clients?

a) No
 b) Yes - enter the total number of these referral arrangements below

The total number of referral arrangements under which you or one of your representatives **receives** a referral fee as at December 31, 2019 in relation to your Canadian clients:

(B) Do you have any referral arrangements under which you **pay** a referral fee as at December 31, 2019 in relation to your Canadian clients?

a) No
 b) 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

For detailed instructions on how to complete the spreadsheets refer to the “Help Page” accessible within the General section of the Questionnaire.

Comment box

Certain responses **require** a user to provide additional information in a comment box. For example, if you select box “g) Other – provide details in comment box below”, the background of the comment box field will change to yellow to prompt the user to enter information. Once you enter the information in the comment box, the comment box will turn white. If you do not enter any information, the system will mark the question as incomplete.

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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

Comment boxes are provided for questions within the Questionnaire to allow a user to input any explanatory information with respect to the responses provided. If additional space is required, comments can be provided on the **final page** of each section of the Questionnaire in the field titled “Final Overall Feedback”. If your comment is in respect to a specific question or response, ensure to identify the question/response number (e.g. IFM F1, EMD E7).

TROUBLESHOOTING

Below are examples of some of the error messages that you may encounter as you are completing or submitting the Questionnaire. Placing your cursor over any input box highlighted in red will illustrate the error message details.

Error message 1 – Invalid information entered

In this example, the user has entered text when a numeric entry is required.

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Question G1 – Revenue

Fill in the table below.

	Amount in financial (fiscal) year ended in 2019 (in CAD dollars)	Amount in financial (fiscal) year ended in 2018 (in CAD dollars)
Total gross revenue of your firm	text	
Specified Ontario revenues	text	

Invalid information entered.
Enter a value between \$0 and \$900,000,000,000 CAD.

Specified Ontario revenues: Definition of specified Ontario revenues can be found under section 1.1 of Ontario Securities Commission (OSC) Rule 13-502 Fees. Refer to the OSC website for the rule:
https://www.osc.gov.on.ca/documents/en/Securities-Category1/rule_20191018_13-502_unofficial-consolidated.pdf

In this next example, the user has entered a numeric value outside the permitted percentage range.

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(B) For those accounts where you have discretionary trading authority, what type of securities (investment products) do your clients hold in them? Enter zero in rows that are not applicable to you.			
Investment product	Approximate percentage of total AUM as at December 31, 2019		
Equities (exchange traded)	<input type="text" value="105"/>	%	
Equities (non-exchange traded)	<input type="text"/>	%	
Fixed income	<input type="text"/>	%	
Prospectus qualified funds (excluding exchange traded funds)	<input type="text"/>	%	
Exchange traded funds	<input type="text"/>	%	
Non-prospectus qualified funds	<input type="text"/>	%	
Cash equivalents	<input type="text"/>	%	
Other (describe below)	<input type="text"/>	%	
Total	105.00	%	

Error message 2 – This information is required

In the following two examples, the user has failed to enter responses in mandatory fields.

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Question P11 – Trading and brokerage practices Which of the following apply to your trading and brokerage practices for client accounts? Check all that apply.			
<input type="checkbox"/> a) Have an approved list of broker-dealers that is reviewed at least annually <input type="checkbox"/> b) Document in writing, at least annually, your evaluation of whether best execution was achieved <input type="checkbox"/> c) Trading is done by staff other than those responsible for investment decision making <input type="checkbox"/> d) Do not use client brokerage commissions to pay for eligible research and order execution goods and services (soft dollar arrangements) <input type="checkbox"/> e) Do not use affiliated dealers <input type="checkbox"/> f) Do not cross trade between client accounts (where permitted under securities law) <input type="checkbox"/> g) Not applicable (e.g. trading is done by another party such as a sub-adviser)			
<input type="text"/> necessary This information is required. Select one or more options.			

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

This information is required.
Enter up to 500 characters.

Error message 3 – Submitting with incomplete responses

In order to complete the Questionnaire, **all** questions must be answered, including mandatory comment boxes and UDP certifications. If you attempt to submit the Questionnaire without completing all mandatory fields, a message will appear on your screen indicating that one or more of the items in this form have not yet been complete correctly (as shown below). After clicking “OK”, you will be redirected to the page containing the incomplete field. You may have to scroll down the page to find the question where information is missing, i.e. fields that are highlighted in yellow. Note - if more than one input box is incomplete, the software will redirect the user to each incomplete field in sequential order after attempting to submit the Questionnaire again.

eforms1.osc.gov.on.ca says

One or more of the items in this form have not yet been completed correctly.

Please correct the item(s) and try again.