



On July 9<sup>th</sup>, 2020 the OSC sent an email to your firm's Ultimate Designated Person and Chief Compliance Officer containing a hyperlink to a survey on the initial impact of COVID-19 (the **Survey**). The deadline to complete the Survey is **August 6, 2020**.

This Survey is being sent to all firms registered with the OSC and domiciled in Ontario and to some firms where we are not the principal regulator as we are collecting this information for them. We are sending this Survey since the periods covered by the 2020 Risk Assessment Questionnaire (**2020 RAQ**) do not include any of the months when registrants were dealing with the impacts of COVID-19. The Survey will gather information from **January 1, 2020 to June 30, 2020**.

We understand and appreciate the resource implications on registrants to have to complete this Survey. Survey questions will only be applicable based on the firm's categories of registration and business operations. The information collected will be used to support our on-going compliance activities.

**Note the following important instructions for completing the Survey:**

- (1) The Survey must be completed in one sitting as it **cannot be saved**. It is strongly advised that you use the Word copy of the Survey that you can find on the OSC website to plan out the firm's answers and then complete the Survey once you have all of the information for all the questions. Please keep a copy of the word document for your records.
- (2) The survey includes some general questions as well as specific questions depending on the firm's registration categories and business activities. Answering "Yes" to an initial question will generate subsequent additional questions on that topic. If the firm answers "No" to an initial question, then the subsequent questions will not be generated, and the firm will be directed to the next applicable question. This is illustrated in the attached word document.
- (3) All values should be reported in **Canadian dollars**.
- (4) Please ensure that you are satisfied with your answers prior to clicking the "Submit" button. Once the survey has been submitted, changes cannot be made.
- (5) The Deadline to submit the Survey is **August 6, 2020**.

***Contacts for questions***

Email us at [ComplianceSurvey@osc.gov.on.ca](mailto:ComplianceSurvey@osc.gov.on.ca) should you have any questions.

Alternatively, contact any one of the individuals listed below:

**OSC Representatives**

Estella Tong  
Senior Accountant  
416-593-8219

Tai Xiong  
Accountant  
416-263-3797

Keveion Barker  
Accountant  
416-593-8311