

GUIDANCE REFERENCED IN TOPICAL GUIDE FOR REGISTRANTS (AS OF NOVEMBER 17, 2016)

	Guidance Document	Publication Date(s)
1.	CRR blast email: "OSC Message to CCOs and UDPs on Inadequate Compliance Systems"	May 2012
2.	CRR blast email: "Requirement to deliver documents electronically to the Ontario Securities Commission (Effective February 19, 2014)"	February 11, 2014
3.	Attachment to CRR blast email: "Planning Tips for Implementing the "CRM2" Amendments to NI 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i> "	March 7, 2014
4.	CRR blast email: "Monthly Suppression of Terrorism and UN Sanctions Report"	July 27, 2015
5.	OSC Media Release: "OSC Sets Out Expectations for Businesses Planning to Operate Peer-to-Peer Lending Websites"	June 19, 2015
6.	Companion Policy to OSC Rule 13-502 <i>Fees</i>	April 16, 2015
7.	Companion Policy to OSC Rule 13-503 (<i>Commodity Futures Act</i>) <i>Fees</i>	April 16, 2015
8.	OSC Notice 15-901 <i>Procedures for Opportunities to be Heard Before Director's Decisions on Registration Matters</i>	March 3, 2006
9.	Companion Policy to National Instrument 23-103 <i>Electronic Trading</i>	Consolidated March 1, 2014
10.	CSA Staff Notice 24-305 <i>Frequently Asked Questions About NI 24-101 Institutional Trade Matching and Settlement and Related Companion Policy (Revised)</i>	May 6, 2011
11.	CSA Staff Notice 24-314 <i>Preparing for the Implementation of T+2 Settlement: Letter to Registered Firms</i>	May 26, 2016
12.	Companion Policy to National Instrument 31-103 <i>Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>	Consolidated January 11, 2015
13.	CSA Staff Notice 31-317 <i>Reporting Obligations Related to Terrorist Financing (Revised)</i>	July 30, 2010
14.	CSA Staff Notice 31-323 <i>Guidance Relating to the Registration Obligations of Mortgage Investment Entities</i>	February 25, 2011
15.	CSA Staff Notice 31-325 <i>Marketing Practices of Portfolio Managers</i>	July 8, 2011
16.	CSA Staff Notice 31-332 <i>Relevant Investment Management Experience for Advising Representatives and Associate Advising Representatives of Portfolio Managers</i>	January 17, 2013
17.	CSA Staff Notice 31-334 <i>CSA Review of Relationship Disclosure Practices</i>	July 18, 2013
18.	CSA Staff Notice 31-336 <i>Guidance for Portfolio Managers, Exempt Market Dealers and Other Registrants on the Know-Your-Client, Know-Your-Product and Suitability Obligations</i>	January 9, 2014
19.	CSA Staff Notice 31-338 <i>Guidance on Dispute Resolution Services – Client Disclosure for Registered Dealers and Advisers that are not Members of a Self-Regulatory Organization</i>	May 1, 2014
20.	CSA Staff Notice 31-341 <i>Omnibus/Blanket Orders Exempting Registrants from Certain CRM2 Provisions of National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>	May 21, 2015

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	Guidance Document	Publication Date(s)
21.	CSA Staff Notice 31-342 <i>Guidance for Portfolio Managers Regarding Online Advice</i>	September 24, 2015
22.	CSA Staff Notice 31-343 <i>Conflicts of interest in distributing securities of related or connected issuers</i>	November 19, 2015
23.	CSA Staff Notice 31-345 <i>Cost Disclosure, Performance Reporting and Client Statements – Frequently Asked Questions and Additional Guidance</i>	April 14, 2016
24.	Companion Policy to Multilateral Instrument 32-102 <i>Registration Exemptions for Non-Resident Investment Fund Managers</i>	Consolidated August 10, 2012
25.	OSC Staff Notice 32-505 <i>Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario</i>	April 23, 2015
26.	Companion Policy to OSC Rule 32-505 <i>Conditional Exemption from Registration for United States Broker-Dealers and Advisers Servicing U.S. Clients from Ontario</i>	May 28, 2015
27.	Companion Policy to National Instrument 33-105 <i>Underwriting Conflicts</i>	Consolidated Sept. 28, 2009
28.	Companion Policy to National Instrument 33-109 <i>Registration Information</i>	Consolidated January 11, 2015
29.	CSA Staff Notice 33-315 <i>Suitability Obligation and Know Your Product</i>	September 4, 2009
30.	OSC Staff Notice 33-734 <i>2010 Compliance and Registrant Regulation Branch Annual Report</i>	October 15, 2010
31.	OSC Staff Notice 33-735 <i>Sale of Exempt Securities to Non-Accredited Investors</i>	May 13, 2011
32.	OSC Staff Notice 33-736 <i>2011 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 23, 2011
33.	OSC Staff Notice 33-738 <i>2012 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	November 22, 2012
34.	OSC Staff Notice 33-740 <i>Report on the results of the 2012 targeted review of portfolio managers and exempt market dealers to assess compliance with the know-your-client, know-your-product and suitability obligations</i>	May 31, 2013
35.	OSC Staff Notice 33-742 <i>2013 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	November 7, 2013
36.	OSC Staff Notice 33-743 <i>Guidance on sales practices, expense allocation and other relevant areas developed from the results of the targeted review of large investment fund managers</i>	June 19, 2014
37.	OSC Staff Notice 33-744 <i>Availability of Registration Exemptions to Foreign Dealers in Connection with Trades in Options and Futures Contracts under the Commodity Futures Act (Ontario)</i>	September 18, 2014
38.	OSC Staff Notice 33-745 <i>2014 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 25, 2014
39.	OSC Staff Notice 33-746 <i>2015 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 21, 2015

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	Guidance Document	Publication Date(s)
40.	OSC Staff Notice 34-701 <i>Publication of Decisions of the Director on Registration Matters under Part XI of the Securities Act (Ontario) ("Opportunities to be Heard)</i>	May 20, 2011
41.	Companion Policy to National Instrument 35-101 <i>Conditional Exemption from Registration for United States Broker-Dealers and Agents</i>	December 29, 2000
42.	OSC Staff Notice 35-704 (<i>Commodity Futures Act</i>) <i>Non-Resident Advisers</i>	July 5, 2012
43.	Companion Policy to National Instrument 45-106 <i>Prospectus Exemptions</i>	July 29, 2016
44.	Companion Policy to Multilateral Instrument 45-108 <i>Crowdfunding</i>	January 14, 2016
45.	CSA Staff Notice 45-304 <i>Notice of Local Exemptions Related to National Instrument 45-105 Prospectus Exemptions and National Instrument 31-103 Registration Requirements, Exemptions and Ongoing Registrant Obligations</i>	May 21, 2015
46.	CSA Staff Notice 45-308 (Revised) <i>Guidance for Preparing and Filing Reports of Exempt Distribution under National Instrument 45-106 Prospectus Exemptions</i>	September 29, 2016
47.	Companion Policy to OSC Rule 45-501 <i>Ontario Prospectus and Registration Exemptions</i>	Multiple Dates
48.	Exempt Market Review – Backgrounder	November 5, 2015
49.	Summary of Key Capital Raising Prospectus Exemptions in Ontario	January 28, 2016
50.	Companion Policy to National Instrument 52-107 <i>Acceptable Accounting Principles and Auditing Standards</i>	Consolidated April 30, 2016
51.	OSC Staff Notice 81-722 <i>Mortgage Investment Entities and Investment Funds</i>	September 12, 2013
52.	Companion Policy to OSC Rule 91-506 <i>Derivatives: Product Determination</i>	February 12, 2015
53.	Companion Policy to OSC Rule 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	May 12, 2016
54.	OSC Staff Notice 91-702 <i>Offerings of Contracts for Difference and Foreign Exchange Contracts to Investors in Ontario</i>	October 30, 2009
55.	OSC Staff Notice 91-704 <i>Compliance Review Plan for OSC Rule 91-507 Trade Depositories and Derivatives Data Reporting</i>	June 29, 2015
56.	The Investment Funds Practitioner	Multiple Dates
57.	CSA Staff Notice 45-320 <i>Exemptions for Certain Foreign Issuers from the Requirement to Identify Purchasers as Registrants or Insiders in Reports of Exempt Distribution</i>	July 7, 2016
58.	OSC Staff Notice 33-747 <i>2016 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	July 28, 2016
59.	CSA Staff Notice 31-346 <i>Guidance as to the Scope of the International Dealer Exemption in relation to Foreign-Currency Fixed Income Offerings by Canadian Issuers</i>	September 1, 2016
60.	Companion Policy to National Instrument 24-101 <i>Institutional Trade Matching and Settlement</i>	January 11, 2015
61.	Companion Policy to National Instrument 23-101 <i>Trading Rules</i>	Consolidated July 6, 2016

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	Guidance Document	Publication Date(s)
62.	CSA Staff Notice 31-347 <i>Guidance for Portfolio Managers for Service Arrangements with IIROC Dealer Members</i>	November 17, 2016