

## GUIDANCE REFERENCED IN TOPICAL GUIDE FOR REGISTRANTS (AS OF DECEMBER 31, 2017)

	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>	Consolidated as of March 1, 2017
7.	Companion Policy to OSC Rule 13-503 ( <i>Commodity Futures Act</i> ) <i>Fees</i>	Consolidated as of March 1, 2017
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 and Direct Electronic Access to Marketplaces</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 as of December 4, 2017
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 31-342 <i>Guidance for Portfolio Managers Regarding Online Advice</i>	September 24, 2015

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21.	CSA Staff Notice 31-343 <i>Conflicts of interest in distributing securities of related or connected issuers</i>	November 19, 2015
22.	CSA Staff Notice 31-345 <i>Cost Disclosure, Performance Reporting and Client Statements – Frequently Asked Questions and Additional Guidance</i>	April 14, 2016
23.	Companion Policy to Multilateral Instrument 32-102 <i>Registration Exemptions for Non-Resident Investment Fund Managers</i>	Consolidated as of August 10, 2012
24.	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
25.	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
26.	Companion Policy to National Instrument 33-105 <i>Underwriting Conflicts</i>	Consolidated as of Sept. 28, 2009
27.	Companion Policy to National Instrument 33-109 <i>Registration Information</i>	Consolidated as of December 4, 2017
28.	CSA Staff Notice 33-315 <i>Suitability Obligation and Know Your Product</i>	September 4, 2009
29.	OSC Staff Notice 33-734 <i>2010 Compliance and Registrant Regulation Branch Annual Report</i>	October 15, 2010
30.	OSC Staff Notice 33-735 <i>Sale of Exempt Securities to Non-Accredited Investors</i>	May 13, 2011
31.	OSC Staff Notice 33-736 <i>2011 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 23, 2011
32.	OSC Staff Notice 33-738 <i>2012 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	November 22, 2012
33.	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
34.	OSC Staff Notice 33-742 <i>2013 OSC Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	November 7, 2013
35.	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
36.	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
37.	OSC Staff Notice 33-745 <i>2014 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 25, 2014
38.	OSC Staff Notice 33-746 <i>2015 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	September 21, 2015
39.	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

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40.	Companion Policy to National Instrument 35-101 <i>Conditional Exemption from Registration for United States Broker-Dealers and Agents</i>	December 29, 2000
41.	OSC Staff Notice 35-704 ( <i>Commodity Futures Act</i> ) <i>Non-Resident Advisers</i>	July 5, 2012
42.	Companion Policy to National Instrument 45-106 <i>Prospectus Exemptions</i>	Consolidated as of April 1, 2017
43.	Companion Policy to Multilateral Instrument 45-108 <i>Crowdfunding</i>	January 14, 2016
44.	CSA Staff Notice 45-304 (Revised) <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
45.	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
46.	Companion Policy to OSC Rule 45-501 <i>Ontario Prospectus and Registration Exemptions</i>	Multiple Dates
47.	Exempt Market Review – Background	November 5, 2015
48.	Summary of Key Capital Raising Prospectus Exemptions in Ontario	January 28, 2016
49.	Companion Policy to National Instrument 52-107 <i>Acceptable Accounting Principles and Auditing Standards</i>	Consolidated as of April 30, 2016
50.	OSC Staff Notice 81-722 <i>Mortgage Investment Entities and Investment Funds</i>	September 12, 2013
51.	Companion Policy to OSC Rule 91-506 <i>Derivatives: Product Determination</i>	Consolidated as of April 30, 2015
52.	Companion Policy to OSC Rule 91-507 <i>Trade Repositories and Derivatives Data Reporting</i>	May 12, 2016
53.	OSC Staff Notice 91-702 <i>Offerings of Contracts for Difference and Foreign Exchange Contracts to Investors in Ontario</i>	October 30, 2009
54.	OSC Staff Notice 91-704 <i>Compliance Review Plan for OSC Rule 91-507 Trade Depositories and Derivatives Data Reporting</i>	June 29, 2015
55.	The Investment Funds Practitioner	Multiple Dates
56.	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
57.	OSC Staff Notice 33-747 <i>2016 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	July 28, 2016
58.	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
59.	Companion Policy to National Instrument 24-101 <i>Institutional Trade Matching and Settlement</i>	January 11, 2015
60.	Companion Policy to National Instrument 23-101 <i>Trading Rules</i>	Consolidated as of April 10, 2017

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61.	CSA Staff Notice 31-347 <i>Guidance for Portfolio Managers for Service Arrangements with IIROC Dealer Members</i>	November 17, 2016
62.	OSC Staff Notice 52-723 <i>Office of the Chief Accountant Financial Reporting Bulletin</i>	November 2016
63.	CSA Staff Notice 33-318 <i>Review of Practices Firms Use to Compensate and Provide Incentives to their Representatives</i>	December 15, 2016
64.	Multilateral CSA Staff Notice 45-322 <i>Potential Concerns with the Structure of Rights Offerings</i>	January 12, 2017
65.	CSA Staff Notice 45-323 <i>Update on the Use of the Rights Offering Exemption in National Instrument 45-106 Prospectus Exemptions</i>	April 20, 2017
66.	CSA Staff Notice 31-350 <i>Guidance on Small Firms Compliance and Regulatory Obligations</i>	May 18, 2017
67.	OSC Staff Notice 33-748 <i>2017 Annual Summary Report for Dealers, Advisers and Investment Fund Managers</i>	July 11, 2017
68.	CSA Staff Notice 31-349 <i>Change to Standard Form Reports for Close Supervision and Strict Supervision Terms and Conditions</i>	July 13, 2017
69.	CSA Staff Notice 33-320 <i>The Requirement for True and Complete Applications for Registration</i>	July 13, 2017
70.	Companion Policy to National Instrument 81-105 <i>Mutual Fund Sales Practices</i>	Consolidated as of September 28, 2009
71.	CSA Staff Notice 46-307 <i>Cryptocurrency Offerings</i>	August 24, 2017
72.	OSC Staff Notice 51-728 <i>Corporate Finance Branch 2016-2017 Annual Report</i>	September 21, 2017
73.	CSA Staff Notice 33-321 <i>Cyber Security and Social Media</i>	October 19, 2017
74.	Joint CSA Staff Notice 31-351, IIROC Notice 17-0229, MFDA Bulletin 0736-M - <i>Complying with requirements regarding the Ombudsman for Banking Services and Investments</i>	December 7, 2017
75.	Companion Policy to Multilateral Instrument 91-102 <i>Prohibition of Binary Options</i>	December 7, 2017
76.	Companion Policy to OSC Rule 72-503 <i>Distributions Outside Canada</i>	December 21, 2017
77.	OSC LaunchPad blast email: "Form 33-109F5 requirement for registered firms that establish, manage, advise and/or trade in securities of cryptocurrency investment funds"	December 5, 2017