

Proceedings involving the OSC: 10 Things Every Dealer Should Know

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Complying with regulatory obligations under securities law is a top priority for exempt market dealers (“**EMDs**”) across Ontario who want to avoid proceedings involving the Ontario Securities Commission (“**OSC**” or the “**Commission**”). WeirFoulds provides cost-effective strategic advice and solutions for EMDs to address regulatory issues as they arise and litigation counsel when needed. This article presents ten essential facts about proceedings involving the OSC that every dealer should know.

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