

Securities and Related Investigations – Canada

MAY 17, 2017 1 MIN READ

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In this chapter originally published in *GIR Know-how: Securities and Related Investigations*, Osler partners Lawrence Ritchie and Lauren Tomasich answer a wide range of questions related to the law and practice of securities investigations in Canada. Topics covered include the following:

- Canada's regulatory environment (including the country's primary securities regulators, principal violations or legal issues that securities regulators investigate, and how jurisdiction is allocated)
- investigation procedure (including investigation triggers, the typical phases of a securities or related investigation, and mechanisms by which a securities authority may cooperate and coordinate with authorities outside Canada)
- document production (including production requirements related to an investigation and how confidential information or commercially sensitive information is treated by securities authorities)
- witness interviews (including whether interviews will be made public and if witnesses can exercise a right not to testify)
- advocacy (including whether a target of a securities investigation can challenge the investigation in court while the investigation is ongoing)
- timing (including the limitation period for charges for securities and related violations)
- resolution (including how the resolution or settlement process will be initiated, and who decides whether to proceed with charges and what charges to select)
- collateral consequences (including collateral consequences to a resolution or settlement with a securities authority)

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