

## Are you on the RAQ?



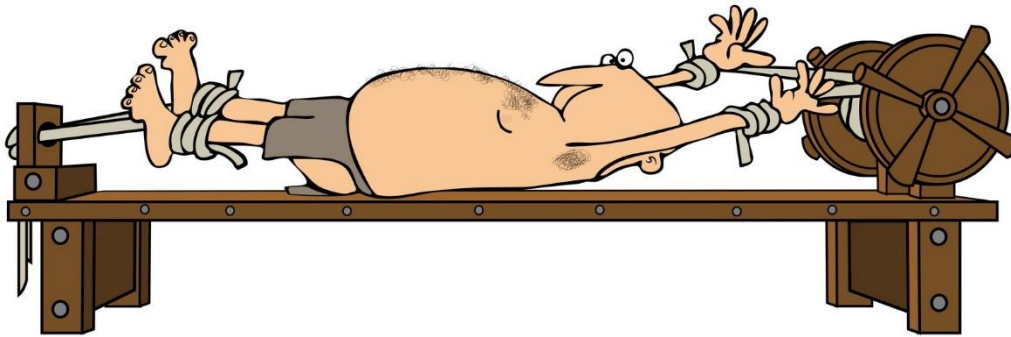
## Bulletin

June 16, 2014

**AUM Law** primarily serves the asset management sector, with specific expertise in the regulatory space. We focus on providing truly practical, forward-thinking advice and services.

We have recently assisted a number of clients in successfully addressing concerns raised by OSC staff. This bulletin is an overview only and it does not constitute legal advice. It is not intended to be a complete statement of the law or an opinion on any matter. No one should act upon the information in this document without a thorough examination of the law as applied to the facts of a specific situation.

Please contact [a member of our Regulatory Compliance Group](#) to ask a question, submit a comment or request more information about any topic in this bulletin. To unsubscribe or request a copy of one of our other recent bulletins, please contact [communications@aumlaw.com](mailto:communications@aumlaw.com).



You may have received the OSC's recent notes reminding you to complete and submit its interactive **2014 Risk Assessment Questionnaire (RAQ)** via a dedicated url **by July 21, 2014**. The OSC issues a RAQ every few years to risk-rank its registrants, and uses the risk ranking as one of its main tools when determining which firms to audit.

**Don't let the RAQ torture you!** Let us ease the tension by helping you complete it. [Contact us](#).