

## Day-To-Day Securities Compliance: What Executives Need to Know

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Becoming an executive officer of a publicly traded company brings on responsibilities with respect to compliance in a very complex and ever-changing regulatory environment. A public company executive has to know how to navigate the obligations, restrictions and prohibitions under securities legislation and the regulations, notices, instruments, and policies adopted thereunder, as well as stock exchange rules and governance best practices. It can be a daunting task just getting on top of the basics of securities law compliance. But it is a necessary exercise as any failure to comply with securities law can expose a company and/or its officers and/or directors to enforcement proceedings, prosecution and/or civil liability.

This booklet provides an overview of the Ontario securities law basics that an officer of a company listed on the Toronto Stock Exchange (TSX) should know on a day-to-day basis.

[Read more here.](#)

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*This publication is a general summary of the law. It does not replace legal advice tailored to your specific circumstances.*