

For Immediate Release

June 22, 2021

CSA 2020/2021 Enforcement Report highlights commitment of Canadian securities regulators during unprecedented times

Market Analysis Platform launched to identify and analyze market misconduct across the country

Montreal – The Canadian Securities Administrators (CSA) today released its fiscal year 2020/2021 [Enforcement Report](#), which provides details on enforcement efforts and outlines how securities regulators are protecting investors and the integrity of Canada’s capital markets.

Highlights from the fiscal year 2020/2021 Enforcement Report include:

- 159 Investor Alerts warned the public about possible investment scams;
- 52 matters commenced, involving 133 respondents;
- 124 files referred from one jurisdiction to another for further action;
- 38 individuals banned from participating in Canada’s capital markets;
- Seven individuals received a combined total of 15.4 years of jail terms for criminal and quasi-criminal cases;
- \$20 million sanctions imposed or obtained in administrative penalties and voluntary payments; and
- 461 whistleblower tips received.

“This year’s Enforcement Report highlights how CSA members adapted quickly to evolving circumstances by introducing new ways of protecting investors, while staying ahead of emerging issues and trends,” said Louis Morisset, Chair of the CSA and President and CEO of the Autorité des marchés financiers.

The report outlines how CSA members continued to strengthen their technical knowledge on critical and emerging topics, such as open-source intelligence and mobile forensics, and implement best practices and tools across the country to recognize and target fraudulent activity.

The CSA also formally launched the Market Analysis Platform (MAP) in October 2020. MAP is a data repository and analytics system designed to help all CSA members identify and analyze market misconduct. The system has increased efficiency and speed in accessing and analyzing trading activity, which is critical as capital markets continue to evolve.

“I am incredibly proud of the CSA members across the country and all their exceptional work,” says Morisset. “The work done during the pandemic-driven crisis truly demonstrated the strength and resilience of the CSA and confirmed, no matter the circumstances, we are deeply committed

to enforcing securities laws and protecting investors in Canada.”

The CSA, the council of the securities regulators of Canada’s provinces and territories, coordinates and harmonizes regulation for the Canadian capital markets.

Click [here](#) to view the Canadian Securities Administrators fiscal year 2020/2021 Enforcement Report.

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For Investor inquiries, please refer to your respective securities regulator. You can contact them [here](#).