

Attachment C

Roles and Responsibilities	Conditions Become Enforceable (transaction occurs)	Monitoring Compliance	Taking Compliance Action
Treasury	<ul style="list-style-type: none"> Commences compliance monitoring, as appropriate (i.e. if transaction has occurred) Liaises with relevant Consult Partner as appropriate 	<ul style="list-style-type: none"> Conducts compliance monitoring activities. Works with Applicants to promote and ensure ongoing compliance 	<ul style="list-style-type: none"> Produces audit reports Works with Applicants to return to compliance Approves remedial action plans Escalates to enforcement action as appropriate
Consult Partner	<ul style="list-style-type: none"> Notify Treasury if they become aware a transaction has occurred, as appropriate Notify Treasury of any communications with the investor 	<ul style="list-style-type: none"> Notify Treasury should they become aware of potential non-compliance Assist in assessing the results of compliance monitoring, as appropriate Provide technical and subject matter advice on compliance with conditions Notify Treasury of any communications with the investor 	<ul style="list-style-type: none"> Provide technical and subject matter advice to facilitate returning Applicants to compliance with conditions Initiate action using other mechanisms and regulatory regimes as appropriate Notify Treasury of any communications with the investor