

# How the BCSC handles enforcement cases

## Information Sources

Including the public, other agencies and internal sources

## BCSC ENFORCEMENT

### Case Assessment

Assesses information to determine if investigation is required.

#### Administrative Investigations

Investigates cases for breaches of the Securities Act.

#### Criminal Investigations

Investigates cases for criminal or quasi-criminal misconduct.

#### Litigation

Prosecutes cases before BCSC Tribunal.

#### Crown Counsel

Prosecutes BCSC criminal and quasi-criminal cases in court.

#### Tribunal

Holds a hearing and can order prohibitions or fines if it finds there has been misconduct.

#### BC Court

Holds a trial and can impose fines or jail if person found guilty.

