

CAFII Regulator and Policy-Maker Visit Plan 2015

Jurisdiction Regulator/Policy-Maker	Last Meeting /Contact	Proposed Meeting	Topics/Purpose	Status Sept 16/15
British Columbia				
Gerry Matier, Executive Director, Insurance Council of BC	Feb. 27/15 meeting in Toronto addressed review of BC FIA; representation for banks-in-insurance on Insurance Council; new CE requirements for new licensees; LLQP support; CCIR travel insurance initiative	When Gerry is in Toronto for CISRO/related meetings	-10 yr. Review of BC Financial Institutions Act (if appropriate) -LLQP modernization -Update on Council priorities -Update on CCIR travel insurance review -Communicate CAFII issues -Maintain and strengthen relationship	Pending
Carolyn Rogers , CEO, FICOM & Superintendent of Insurance (CCIR Vice-Chair)	Lunch meeting in Quebec City on April 30/15	When Carolyn is in Toronto for CCIR/related meetings	-FICOM Information Bulletin on CGI ('effecting' of CGI in BC issue) -10 yr. Review of BC Financial Institutions Act (if appropriate) -Update on CCIR travel insurance review -Update on FICOM priorities -Communicate CAFII issues; maintain and strengthen relationship	Pending
Doug McLean, Deputy Superintendent of Insurance, FICOM	No contact/meeting for at least past two years	When Doug is in Toronto for CCIR/related meetings		Pending
Chris Carter, Acting Head, Market Conduct Supervision (replaced K. Mactaggart Wright in Aug./15). Full-time job is Deputy Superintendent, Real Estate and Deputy Superintendent, Mortgage Brokers	No previous contact with CAFII	Sept/15 follow-up call to set up teleconference for CAFII members to discuss issues/concerns with Information Bulletin; followed, if necessary, by Q4 2015 meeting in Vancouver	- FICOM Information Bulletin on CGI, ie. 'effecting' of CGI in BC issue (C. Carter has leadership responsibility for this issue)	Pending
Harry James, Director, Policy Initiatives, FICOM (Chair of CCIR's Travel Insurance Working Group)	Nov. 21/14: G. Grant chatted with H. James during FIA Review roundtable discussion Jul 28/14: call with CAFII reps re: "effecting" CGI	Not directly involved in current CAFII-relevant FICOM issues		N/A

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Michael de Jong, Minister of Finance Dan Ashton, Parliamentary Secretary for Finance (elected MLA) Elizabeth Cole, Executive Director, Strategic Projects & Policy (head of 10-Year Review of FIA) Heather Wood, Assistant Deputy Minister Marcus Gill, Executive Director	Nov. 21/14: G. Grant represented CAFII at FIA Review roundtable discussion hosted by Minister	Sept/15 follow-up call to Ministry officials re publication of stakeholder submissions, timing of public report on initial input received, etc.; followed, if necessary, by Q4 2015 meeting in Victoria with Ministry of Finance officials and Dan Ashton	-10-year Review of Financial Institutions Act: follow-up on CAFII issues/concerns	Pending
Alberta				
Alberta Insurance Council: Joanne Abram, CEO; Ron Gilbertson, Chair (2012-15)	Nov 20/14: CLHIA COSS seminar (B. Wycks); Mar 17/14; Toronto, ON Mar 17/14; Toronto, ON	When Joanne, Anthonet, or Warren is in Toronto for CISRO/CCIR/related meetings	-Representation for Restricted Licence Holders -Licensing for 3rd party providers -Canadian Insurance Participant Registry (CIPR) -LLQP modernization - Update on Council priorities -Communicate CAFII issues -Maintain and strengthen relationship	Pending
Anthonet Maramieri, COO (succeeded retired Tom Hampton at beginning of 2015) Warren Martinson, Legal Counsel (member of CISRO LLQP Ctte)	Feb 27/15: Toronto: B. Wycks met A. Maramieri and had get acquainted chat at CISRO LLQP Stakeholder Info Session Feb 10/14: Toronto, ON			

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Mark Prefontaine, Superintendent of Insurance	Sep 30/14; Fredericton, NB (informal meeting)	When Mark is in Toronto for CCIR/related meetings	See above	Pending
David Sorensen, Deputy Superintendent of Insurance	No face-to-face contact to date - <i>appointed Sep 15/14; CAFII congratulatory letter sent</i>	When David is in Toronto for CCIR/related meetings	See above - and introduce CAFII	Pending
Laurie Balfour, Director, Financial Compliance, Insurance Regulation and Market Conduct Branch	Sep 30/14: Fredericton, NB (informal meeting) Jul 28/14: call with CAFII reps re: "effecting of CGI"	When Laurie is in Toronto for CCIR/related meetings	See above	Pending
Robin Campbell, President of Treasury Board and Minister of Finance	No contact – appointed Sept 15/14	TBD	TBD until CAFII has a "direct ask"	Pending
Saskatchewan				
Ron Fullan, Executive Director, Insurance Councils of Saskatchewan and CISRO Chair	June 5/15 CISRO LLQP Stakeholder Info Session	When Ron is in Toronto for September 22/15 CISRO LLQP Stakeholder Info Session	-Restricted Insurance Agents Advisory Cttee. -Sask RIA regime and licensure issues -LLQP modernization - Update on ICS and CISRO priorities -Communicate CAFII issues -Maintain and strengthen relationship	R. Fullan requested a short meeting with B. Wycks on Sask. issue, following Sept. 22/15 LLQP mtng.
April Stadnek, Director of Licensing	Sep 30/14; Fredericton, NB (informal meeting) November/13 in Toronto when April attended CLHIA CCROSS Seminar	When April is in Toronto for CISRO/CCIR/related meetings		Pending
Roger Sobotkiewicz, Interim Chairperson and Superintendent of Insurance	-no previous contact; congratulatory letter on appointment sent March 4/15	See J. Seibel below. If necessary, Q4 2015 or Q1 2016 meeting in Regina	-introduce CAFII and build relationship -Regulations being developed following passage of Bill 177, The Insurance Act (Saskatchewan) -ISI: Representation for Restricted Licence Holders -LLQP modernization - Update on Superintendent's priorities -Communicate CAFII issues	Pending

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Ian McIntosh, Deputy Superintendent of Insurance	Jul 28/14 call with CAFII reps re: "effecting CGI"	Same as above	See above	Pending
Janette Seibel, Lawyer, FCAA, became lead on Bill 177 and Regulations file effective June 1/15	-teleconference meeting, along with Jim Hall, on CAFII submission on Bill 177, on March 2/15 -(subsequent telephone discussion between J. Hall and B. Wycks on May 7/15 re passage of Bill 177; and plans for Regulations to effect changes to sections of Insurance Act via "not proclaimed in force." J. Seibel did not participate in call but received report from J. Hall)	Q4 2015 or Q1 2016 follow- up call to set up teleconference for CAFII members to discuss issues/concerns with Draft Regulations published; followed, if necessary, by Q4 2015 or Q1 2016 meeting in Regina	-Regulations being developed following passage of Bill 177, The Insurance Act (Saskatchewan)	Pending
Manitoba				
Ministry of Finance: Jim Scalena, Superintendent *Retired at end of 2014 Ken Lofgren, Acting Superintendent of Insurance	April 29/14; Winnipeg, MB Appointed Spring 2015; no previous CAFII contact		-Introduce CAFII and build/maintain relationship -Implementation of ISI regime -Representation for Restricted Licence Holders -Update on Insurance Act Review -LLQP modernization -Update on Superintendent's and Council's priorities -Communicate CAFII issues	Pending

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Scott Moore, Deputy Superintendent of Insurance	April 15/15 teleconference with three CAFII reps re concern about amended Insurance Act's apparent residency requirement for employees of Restricted Insurance Agents April 29/14: Winnipeg, MB	When Ken or Scott is in Toronto for CCIR/related meetings		
Greg Dewar, Minister of Finance	No contact – appointed Nov/14	TBD	TBD until CAFII has “direct ask”	Pending
Erin Pearson, Executive Director, Insurance Council of Manitoba:	Sept. 30/14: dinner in Fredericton, NB re: ISI implementation Apr 29/14; Winnipeg, MB	When Erin is in Toronto for CISRO/related meetings	Same as above; and Insurance Council's “ISI items for further review and development”	Pending
Ontario				
FSCO: Brian Mills, appointed Interim CEO and Superintendent on October 18/14	January 28/15 stakeholder meeting with CCIR November 21/14 at FSCO Life and Health Insurance Symposium	Possible meeting in conjunction with FSCO Life & Health Insurance Symposium: Friday, Nov. 20/15 Q4 2015: get acquainted lunch or dinner meeting	(i)-Introduce CAFII and build/maintain relationship (ii) Ontario government review of FSCO's mandate (iii) next steps, if any, in Life Insurance Product Suitability Review (iv)-CCIR review of travel insurance (v) LLQP modernization (vi)-enhancing the national CRS (vii)-Update on Superintendent's priorities (viii)-communicate CAFII issues	Pending Pending unqualified appointment as CEO and Supt.

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Anatol Monid, Interim Executive Director, Licensing and Market Conduct Division	June 9/15: B. Wycks had informal update conversation with A. Monid at CAFII Reception January 28/15 stakeholder meeting with CCIR November 21/14 at FSCO Life and Health Insurance Symposium	Possible meeting in conjunction with FSCO Life & Health Insurance Symposium: Friday, Nov. 20/15	Same as above; and on-site examinations of life agents and life insurer compliance examination program	Pending
Isabel Scovino, appointed Director, Market Conduct Regulation Branch in Nov/14	Nov 21/14 at FSCO Life & Health Insurance Symposium Nov 13/14 re: Report on Joint Review (FSCO and AMF) of National Complaint Reporting System (CRS)	Possible meeting in conjunction with FSCO Life & Health Insurance Symposium: Friday, Nov. 20/15	Item (vi) above	Pending
Ministry of Finance Charles Sousa, Minister	CAFII made submission to OMAF on "Proposed Regulations Related to Parts V and VII of the Insurance Act" on May 19/15			
Three-member Expert Panel advising on Government's review of FSCO's mandate	July 30/15 life & health insurance sector roundtable meeting (P. McCarthy and G. Grant) May 21/15 informal meeting	Seek exclusive, one-on-one meeting for CAFII (Board member representation) with Expert Panel in Fall 2015, following release of Preliminary Position Paper	-discuss positions outlined in Position Paper; follow-up on CAFII's written submission; ask questions; dialogue.	Pending

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Quebec				
AMF: Louis Morisset, CEO; Patrick Dery, Superintendent, Solvency (appointed CCIR Chair effective April 1/15) Eric Stevenson, Superintendent, Client Services and Distribution Oversight Ministry of Finance Carlos Leitao, Minister Richard Boivin, Assistant Deputy Minister, Financial Institution Policy and Corporate Law Guillaume Caudron, Chief of Staff	Apr 8/14: Montreal, QC April 29/15 meeting in Quebec City, along with AMF staff executives Eric Stevenson, Nathalie Sirois, and Louise Gauthier January 28/15 stakeholder meeting with CCIR January 30/15 meeting in Toronto, along with L. Gauthier, re (i) and (ii) N/A	Liaison lunch and meeting in conjunction with October 6/15 CAFII Board meeting, to be hosted by Desjardins in Levis, Quebec Oct/15 follow-up call to Ministry officials re publication of stakeholder submissions, next steps and their timing; followed, if necessary, by Q4 2015 meeting in Quebec City with Ministry officials	-(i)AMF final paper on electronic commerce in insurance, setting out Orientations/expectations -(ii)Distribution Guide template and implementation timelines -LLQP modernization -enhancing the national CRS -Update on AMF priorities -Communicate CAFII issues -Maintain and strengthen relationship CAFII submission in response to Report on the Application of the Act respecting the distribution of financial products and services	Confirmed Pending
Atlantic Canada				
Joint Forum of Insurance Regulators (four provinces)	Oct 1/14: Fredericton, NB	Spring or Fall 2016	TBD	Deferred to 2016

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New Brunswick				
Angela Mazerolle, Superintendent of Insurance	Oct 1/14: Fredericton, NB	None planned for 2015	TBD	Deferred to 2016
David Weir, Deputy Superintendent of Insurance	June 9/15 teleconference re New Brunswick licensing issues Oct 1/14: Fredericton, NB	When David is Toronto for CISRO/related meetings	-Development of online licensing system -renewed consultation on Rule re licensing fees -other New Brunswick licensing issues	Pending
Jay Reid, Investment Attraction Officer, Opportunities New Brunswick	Jun 3/14: Toronto, with Adam Mitton of predecessor organization Invest New Brunswick	Q3 2015 when Jay is in Toronto; or alternatively via teleconference	- CAFII submission re: Insurance Act and regulatory process changes necessary to support business efficiency and further inbound investment and additional jobs in New Brunswick	Pending
Ronald Godin, Consumer Advocate for Insurance	No contact		-Introduce CAFII and build relationship -Position CAFII as an information resource	Pending
Nova Scotia				
William Ngu, Acting Superintendent	Appointed June 2015; no previous CAFII contact	When William is in Toronto for CCIR/related meetings	-Review of life and accident & sickness provisions of Insurance Act (D. Murphy confirmed on April 22/15 that this is unlikely to occur in 2015)	Pending
PEI				
Superintendent Robert Bradley	Oct 1/14: Fredericton, NB	Q4 2015 or Q1 2016 in PEI or Toronto, if necessary	-Review of life and accident & sickness provisions of Insurance Act (on April 23/15, R. Bradley advised that this may get underway in late 2015) -LLQP modernization -Update on Superintendent's priorities -Communicate CAFII issues -Maintain and strengthen relationship	Pending
Newfoundland				
Craig Whalen, Deputy Superintendent	Oct 1/14: Fredericton, NB	None in 2015	N/A	Deferred to 2016

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FEDERAL/NATIONAL				
Carol Shevlin, Policy Manager, CCIR *Retiring at end of 2015 Sean Gamble, Policy Manager, appointed July 2015 Martin Boyle, Policy Manager, appointed September 2015	-Liaison lunch with B. Wycks on Feb. 23/15 -January 28/15 stakeholder meeting with CCIR	-Q4 2015 liaison lunch for B. Wycks, EOC Chair, and one additional EOC rep. with C. Shevlin and two CCIR Policy Manager successors (S. Gamble and M. Boyle) -December 8/15 CAFII Holiday Season Reception	-CCIR review of travel health insurance -Update on CCIR 2014-17 Strategic Plan and related priorities -Communicate CAFII issues; and maintain and strengthen relationship -possible CAFII webinar(s) for CCIR audience -Recognition and tribute to Carol, upon her imminent retirement at end of 2015 (confirmed as agreeable to her)	Pending Confirmed
Patrick Dery, Chair, CCIR (Superintendent, Solvency, AMF) Carolyn Rogers, CCIR Past-Chair and current Vice-Chair (CEO, FICOM & Superintendent of Insurance)	April 29/15 meeting in Quebec City, along with CCIR Vice-Chair Carolyn Rogers April 29/15 in Quebec City, along with CCIR Chair Patrick Dery January 28/15 stakeholder meeting with CCIR Oct 7/14: Toronto, ON at CAFII Regulator Reception	When Patrick is in Toronto for CCIR/related meetings When Carolyn is in Toronto for CCIR/related meetings	-CCIR review of travel health insurance -Update on CCIR 2014-17 Strategic Plan and related priorities -Communicate CAFII issues; and maintain and strengthen relationship See above	Pending
Harry James, Chair, CCIR Travel Insurance Working Group (TIWG) (Director, Policy Initiatives, BC FICOM)	March 24/15 meeting with CAFII EOC re draft industry survey of travel insurance underwriters January 30/15 and December 10/14, CAFII participated in TIPIP meetings with CCIR Working Group on Travel Insurance	Q4 2015 or Q1 2016 meeting when Harry is in Toronto for CCIR/related meetings	-highlights/findings of CCIR survey of travel health insurers -issues/positions to be included in Issues Paper for industry consultation in Q1 or Q2 2016	Pending

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Ron Fullan Chair (SK); G. Matier (BC); J. Abram (AB), W. Martinson (AB); D. Weir (NB) CISRO	June 5/15 CISRO LLQP Stakeholder Info Session Feb 27/15: CISRO LLQP Stakeholder Info Session	When Ron is in Toronto for September 22/15 LLQP Stakeholder Info Session	-LLQP modernization -possible CISRO Strategic Plan	Confirmed
Jeremy Rudin, Superintendent, Office of the Superintendent of Financial Institutions	No contact – appointed June/14	None	-introduce/educate about CAFII, CGI and alternate distribution -build relationship -invite to be speaker at a CAFII Reception event	Watch/ monitor
Sarah Bradley, Ombudsman, OBSI (appointed Sept. 14/15)	None	None	TBD	Watch/ monitor
Financial Consumer Agency of Canada (FCAC): Lucie Tedesco, Commissioner Brigitte Goulard, Deputy Commissioner Jane Rooney, Financial Literacy Leader Jeremie Ryan, Director, Financial Literacy and Consumer Education Karen Morgan, Marketing Officer	May 1/15: B. Wycks made self-introduction and chatted with L. Tedesco, following her speech at CLHIA Conference Jun 10/14 Feb 10/15 (presentation at CAFII Annual Luncheon) Feb. 10/15 Jan 9/14	Q4 2015 (either in-person in Ottawa or Toronto; or via teleconference)	-CAFII proposed enhancements to FAQs and other content on FCAC web site re creditor insurance -CAFII involvement in consumer financial literacy initiatives, including Financial Literacy Month	Pending