

## CAFII Regulator and Policy-Maker Visit Plan 2016-17

Jurisdiction Regulator/Policy-Maker	Last Meeting /Contact	Proposed Meeting	Topics/Purpose	Status Feb 5/16
<b>British Columbia</b>				
<b>Insurance Council of BC:</b> Gerry Matier, Executive Director	-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 Toronto for CISRO/related meetings	-repeal of residency requirement to serve on Council -nationally harmonized LLQP implementation -update on Council priorities -communicate CAFII issues; maintain and strengthen relationship	Pending
<b>FICOM:</b> 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) -communicate CAFII issues; maintain and strengthen relationship	Pending
Doug McLean, Deputy Superintendent of Insurance	-No contact/meeting for at least past two years	When Doug is in Toronto for CCIR/related meetings	-See C. Rogers above	Pending
Chris Carter, Deputy Superintendent, Real Estate and Deputy Registrar, Mortgage Brokers	-Nov 10/15 in Vancouver re: FICOM Information Bulletin on "effecting" CGI contracts	If necessary, follow-up teleconference to obtain further clarification on CAFII questions/issues	- FICOM Information Bulletin on 'effecting' of CGI in BC issue (C. Carter has leadership responsibility for this issue)	Pending
Frank Chong, Deputy Superintendent, Regulation (named contact for questions on Information Bulletin)	-See C. Carter above	-See C. Carter above	-See C. Carter above	See C. Carter above
Harry James, Director, Policy Initiatives (Chair of CCIR's Travel Insurance Working Group)	-Nov. 21/14: G. Grant chatted with H. James during FIA Review roundtable discussion	When Harry is in Toronto for CCIR/related meetings	-See C. Carter and C. Rogers above	Pending

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Molly Burns, Analyst, Policy Initiatives	-Jul 28/14: call with CAFII reps re: "effecting" of CGI			
<b>Ministry of Finance:</b> Michael de Jong, Minister of Finance	-Nov. 21/14: G. Grant represented CAFII at FIA Review roundtable discussion hosted by Minister			
Dan Ashton, Parliamentary Secretary for Finance (elected MLA)	-November 10/15 in Vancouver along with Elizabeth Cole	If necessary, follow-up teleconference in 2016 to obtain further clarification on CAFII questions/issues	-10-year Review of Financial Institutions Act: follow-up on CAFII issues/concerns including recommendations of other stakeholders	Pending
Elizabeth Cole, Executive Director, Strategic Projects & Policy (head of 10-Year Review of FIA)	-November 10/15 in Vancouver along with Dan Ashton; and separate mtng. along with Brian Dillon and Kari Toovey	Possible follow-up meeting in Vancouver when Policy Paper is released in late 2016		Pending
Brian Dillon, Director, Financial Institutions				
Kari Toovey, Senior Policy Advisor				
Heather Wood, Assistant Deputy Minister				
Marcus Gill, Executive Director				
<b>Alberta</b>				
<b>Alberta Insurance Council:</b> Joanne Abram, CEO;	-Oct 19/15 e-mail exchange re AIC review of products suitable for sale under RIA licence -Nov 20/14: CLHIA COSS seminar (B. Wycks	-If necessary, teleconference meeting to discuss findings of AIC Review of Products Suitable For Sale Under RIA Licence (once released)	-AIC Review of Products Suitable For Sale Under RIA Licence (to be completed in December 2015) -Representation for Restricted Licence Holders -Licensing for 3 <sup>rd</sup> party providers -Canadian Insurance Participant Registry (CIPR) -nationally harmonized LLQP implementation - Update on Council priorities	Pending
Ron Gilbertson, Chair (2012-15)	-Mar 17/14 lunch in Toronto, along with J. Abram	When Joanne, Anthonet, or Warren is in Toronto for CISRO/CCIR/related meetings	-Communicate CAFII issues; maintain and strengthen relationship	Pending

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<p>Anthonet Maramieri, COO (succeeded retired Tom Hampton at beginning of 2015)</p> <p>Warren Martinson, Legal Counsel (member of CISRO LLQP Ctte)</p>	<p>-Feb 27/15: Toronto: B. Wycks met A. Maramieri and had get acquainted chat at CISRO LLQP Stakeholder Info Session</p> <p>-Feb 10/14: Toronto, ON</p>			
<p><b>Treasury Board and Ministry of Finance:</b></p> <p><b>Nilam Jetha, Acting Superintendent of Insurance (one year interim role)</b></p> <p>Mark Prefontaine, Superintendent of Insurance (seconded to Senior Asst. Deputy Minister for one year, effective Jan. 11/16)</p> <p>David Sorensen, Deputy Superintendent of Insurance</p> <p>Laurie Balfour, Director, Financial Compliance, Insurance Regulation and Market Conduct Branch</p> <p>Joe Ceci, President of Treasury Board and Minister of Finance</p>	<p><b>No contact – appointed Jan 11/16 (congratulatory letter sent Feb. 1/16)</b></p> <p>-Sep 30/14; Fredericton, NB (informal meeting)</p> <p>No face-to-face contact to date - <i>appointed Sep 15/14</i></p> <p>-Sep 30/14: Fredericton, NB (informal meeting) -Jul 28/14: call with CAFII reps re: “effecting of CGI”</p> <p>No contact – appointed May 24/15</p>	<p><b>When Nilam is in Toronto for CCIR/related meetings</b></p> <p>Not applicable at this time</p> <p>When David is in Toronto for CCIR/related meetings</p> <p>-When Laurie is in Toronto for CCIR/related meetings</p> <p>TBD</p>	<p>- Update on Superintendent’s priorities -Communicate CAFII issues; build and strengthen relationship</p> <p>See N. Jetha above</p> <p>- See N. Jetha above</p> <p>TBD until CAFII has a “direct ask” at Ministerial level</p>	<p><b>Pending</b></p> <p>Pending</p> <p>Pending</p> <p>Pending</p>

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<b>Saskatchewan</b>				
<b>Insurance Councils of Saskatchewan:</b> Ron Fullan, Executive Director, (CISRO Chair)	-Oct. 27/15: R. Fullan gave dedicated CISRO LLQP Stakeholder Info presentation for CAFII members	-Q1 or Q2 2016 teleconference re CAFII proposals for Restricted Insurance Agents Advisory Ctte.  -When Ron is in Toronto for CISRO/CCIR/related meetings	-Restricted Insurance Agents Advisory Ctte. -Sask. RIA regime and licensure issues -LLQP modernization - Update on ICS and CISRO priorities -Communicate CAFII issues; maintain and strengthen relationship	Pending
April Stadnek, Director of Licensing	-Sept 22/15 CISRO LLQP Stakeholder Info Session in Toronto (B. Wycks) -Sep 30/14; Fredericton, NB (informal meeting) -November/13 in Toronto when April attended CLHIA CCOSS Seminar	-When April is in Toronto for CISRO/CCIR/related meetings	-See R. Fullan above	Pending
<b>Financial Consumer Affairs Authority (FCAA):</b> Roger Sobotkiewicz, former Director of FCAA Legal Branch, became Interim Chairperson and Superintendent of Insurance, effective Feb. 1/15	-no previous contact; congratulatory letter on appointment sent March 4/15	-Teleconference mtng with FCAA officials in Q2 2016 re CAFII response to Draft Regulations, if necessary	-introduce CAFII and build relationship -Regulations being developed following passage of <i>Bill 177, The Insurance Act (Saskatchewan)</i> -ISI: Representation for Restricted Licence Holders - Update on Superintendent's priorities -Communicate CAFII issues	Pending
Ian McIntosh, Deputy Superintendent of Insurance	-Jul 28/14 call with CAFII reps re: "effecting CGI"	Same as above	-See R. Sobotkiewicz above	Pending
Janette Seibel, Lawyer, became lead on Bill 177 and Regulations file effective June 1/15	-Oct. 16/15 e-mail exchange (B. Wycks)  -teleconference meeting, along with Jim Hall, on CAFII submission on Bill 177, on March 2/15	-Teleconference mtng with J. Seibel in Q1 or Q2 2016 re explanation/clarification of Draft Regulations published	-Regulations being developed following passage of <i>Bill 177, The Insurance Act (Saskatchewan)</i>	Pending

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<b>Manitoba</b>				
<b>Ministry of Finance:</b> Ken Lofgren, Acting Superintendent of Insurance	-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
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	-When Ken or Scott is in Toronto for CCIR/related meetings		
Greg Dewar, Minister of Finance	-April 29/14: Winnipeg, MB  No contact – appointed Nov/14	TBD	TBD until CAFII has "direct ask" at Ministerial level	Pending
Erin Pearson, Executive Director, Insurance Council of Manitoba:	-Oct. 8/15 at CLHIA CCOS Fall Seminar (B. Wycks) -Sept. 30/14: dinner in Fredericton, NB re: ISI implementation	-When Erin is in Toronto for CISRO/related meetings	Same as above; and Insurance Council's "ISI items for further review and development"	Pending
<b>Ontario</b>				
<b>FSCO:</b> Brian Mills, appointed Interim CEO and Superintendent on October 18/14	-January 28/15 stakeholder meeting with CCIR	-Awaiting clarification of appointment status, emerging from Ontario review of FSCO mandate	(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

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Anatol Monid, Interim Executive Director, Licensing and Market Conduct Division  Isabel Scovino, appointed Director, Market Conduct Regulation Branch in Nov/14	-December 8/15 and June 9/15: Informal update conversations with A. Monid at CAFII Reception events  -January 28/15 stakeholder meeting with CCIR  -Oct. 8/15 at CLHIA CCOS Fall Seminar (B. Wycks) -Nov 21/14 at FSCO Life & Health Insurance Symposium		Item (iii) above  Item (vi) above	
<b>Ministry of Finance</b>  Charles Sousa, Minister  Three-member Expert Panel advising on Government's review of FSCO's mandate	-CAFII made submission to OMAF on "Proposed Regulations Related to Parts V and VII of the Insurance Act" on May 19/15  -May 21/15 informal meeting  -July 30/15 life & health insurance sector roundtable meeting (P. McCarthy and G. Grant)	-Awaiting release of Expert Panel's final report to Minister on proposed future mandate of FSCO		Pending
<b>Quebec</b>				
<b>AMF:</b> Louis Morisset, CEO;  Patrick Dery, Superintendent, Solvency (appointed CCIR Chair effective April 1/15)	-Apr 8/14: Montreal, QC  -Liaison lunch and industry issues dialogue on October 6/15 in Levis, Quebec	-Oct. 4/16 in Montreal: CAFII annual liaison mtng. with AMF  -When Patrick is in Toronto for CCIR/related meetings	-(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	Pending  Pending

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Eric Stevenson, Superintendent, Client Services and Distribution Oversight	-Liaison lunch and industry issues dialogue on October 6/15 in Levis, Quebec	-When Eric is in Toronto for CCIR/related meetings	-See above	Pending
Ministry of Finance  Carlos Leitao, Minister  Richard Boivin, Assistant Deputy Minister, Financial Institution Policy and Corporate Law  Guillaume Caudron, Chief of Staff	N/A	<b>-Q1 2016 in-person meeting with Ministry officials Richard Boivin and Guillaume Caudron, likely in Quebec City</b>	<b>-Internet insurance offerings in Quebec under DWR regime -CAFII submission in response to Report on the Application of the Act respecting the distribution of financial products and services</b>	<b>Pending</b>
<b>Atlantic Canada</b>				
<b>Joint Forum of Insurance Regulators (four provinces)</b>	Oct 1/14: Fredericton, NB	<b>-May 3-5/16 dinner or lunch liaison meeting in Halifax, in conjunction with May 4-6 CLHIA CCOSS Conference</b>	TBD	<b>In Progress</b>
<b>New Brunswick</b>				
<b>Financial and Consumer Services Commission (Insurance Division):</b> Angela Mazerolle, Superintendent of Insurance  David Weir, Deputy Superintendent of Insurance	Oct 1/14: Fredericton, NB  -Sept. 22/15 CISRO LLQP Info Session in Toronto (B. Wycks) -June 9/15 teleconference re New Brunswick licensing issues  -Oct 1/14: Fredericton, NB	<b>-See Joint Forum of Insurance Regulators above</b>  <b>-February 2016 teleconference with CAFII LEIC members</b>  -When David is Toronto for CISRO/related meetings	-implementation of online licensing system -legislative/regulatory change to support electronic beneficiary designations -other New Brunswick licensing issues  <b>-provide CAFII feedback on Phase 1 of NB online insurance licensing system; and hoped-for functionality in Phase 2</b>  -See A. Mazerolle above	<b>In Progress</b>  <b>In Progress</b>  Pending

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<b>Opportunities New Brunswick:</b> Jay Reid, Investment Attraction Officer	-Jun 3/14: Toronto, with Adam Mitton of predecessor organization Invest New Brunswick	-When Jay is in Toronto; or alternatively via teleconference, as necessary	- CAFII submission re: Insurance Act and regulatory process changes necessary to support business efficiency and further inbound investment and additional jobs in New Brunswick -Introduce CAFII and build relationship -Position CAFII as an information resource	Pending
<b>Consumer Advocate for Insurance:</b> Ronald Godin, Consumer Advocate	No contact			Pending
<b>Nova Scotia</b>				
<b>Superintendent of Insurance:</b> William Ngu, Acting Superintendent	-Appointed June 2015; no previous CAFII contact	<b>-See Joint Forum of Insurance Regulators above</b>  -When William is in Toronto for CCIR/related meetings	-Review of life and accident & sickness provisions of Insurance Act -legislative/regulatory change to support electronic beneficiary designations -Update on Superintendent's priorities -Communicate CAFII issues; build and strengthen relationship	<b>In Progress</b>
<b>PEI</b>				
<b>Superintendent of Insurance:</b> Robert Bradley, Superintendent	-Oct 1/14: Fredericton, NB	<b>-See Joint Forum of Insurance Regulators above</b>  -When Robert is in Toronto for CCIR/related meetings	-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) -legislative/regulatory change to support electronic beneficiary designations -Update on Superintendent's priorities -Communicate CAFII issues -Maintain and strengthen relationship	<b>In Progress</b>



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<b>Newfoundland</b>				
<b>Superintendent of Insurance:</b> John O'Neill, Superintendent	-N/A; appointed in October 2015	<b>-See Joint Forum of Insurance Regulators above</b>  -When John is in Toronto for CCIR/related meetings	-legislative/regulatory change to support electronic beneficiary designations -Update on Superintendent's priorities -Communicate CAFII issues; build and strengthen relationship	<b>In Progress</b>
<b>FEDERAL/NATIONAL</b>				
<b>CCIR:</b>  Martin Boyle, Policy Manager  Sean Jacobs, Policy Manager	-December 8/15 CAFII Reception (Martin only)  -Nov. 20/15 relationship transition lunch meeting with three CCIR Policy Managers (C. Shevlin, S. Jacobs and M. Boyle)	-Quarterly liaison lunch meeting for B. Wycks and small group of EOC members with CCIR Policy Managers in March 2016	-Annual Statement on Market Conduct (Martin) -Framework for Cooperative Market Conduct Supervision (Martin) -Review of Travel Health Insurance (Sean) -Possible CCIR speakers/panelists at CAFII events -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	Pending
Patrick Dery, Chair (Superintendent, Solvency, AMF)	-Liaison lunch and industry issues dialogue on October 6/15 in Levis, Quebec -April 29/15 meeting in Quebec City, along with CCIR Vice-Chair Carolyn Rogers	<b>-If Patrick is attending May 4-6 CLHIA CCROSS Conference in Halifax</b> -When Patrick 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; maintain and strengthen relationship	<b>Pending</b>  Pending
Carolyn Rogers, CCIR Past-Chair and current Vice-Chair (also Chair of CCIR OmbudServices Oversight Committee)	-April 29/15 in Quebec City, along with CCIR Chair Patrick Dery	<b>-If Carolyn is attending May 4-6 CLHIA CCROSS Conference in Halifax</b> -When Carolyn is in Toronto for CCIR/related meetings	See P. Dery above	<b>Pending</b>  Pending

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<b>Financial Consumer Agency of Canada (FCAC):</b> 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: B. Goulard was speaker at CAFII event  -Feb 10/15 (presentation at CAFII Annual Luncheon)  -Feb. 10/15  -Jan 9/14		-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	