

Agenda Item 4(c)
November 23/21 EOC Meeting

Imminent/Pending CAFII Regulatory Submissions As At November 19, 2021

<u>Regulatory Authority</u>	<u>Topic</u>	<u>Deadline</u>	<u>Comments</u>
CISRO	Survey of Industry Associations on "Understanding the Consumer Awareness Strategies Currently Undertaken By Industry"	November 30, 2021	
AMF	Draft Regulation on Complaints Handling and Dispute Resolution in the Financial Sector	December 8, 2021	
FCAC	Proposed Guideline On Complaint Handling Procedures For Banks and Authorized Foreign Banks	December 11, 2021	https://www.canada.ca/en/financial-consumer-agency/corporate/transparency/consultations/complaint-handling-procedures.html
AMF	Revised/Updated Sound Commercial Practices Guideline	December 17, 2021	
FCAC	Appropriate Products and Services Guideline	January 6, 2022	To be released on Monday, November 22/21 for a 45 calendar days consultation period
AMF	Incentive Management Guideline	January 28, 2022	
FCNB	"Proposed Rule INS-001: Insurance Intermediaries Licensing and Obligations"	February 7, 2022	Among various matters, outlines specifics of FCNB's plan to introduce a Restricted Insurance Agent (RIA) licensing regime in New Brunswick, which will be the first in Atlantic Canada.
OSFI	Draft Guideline B-13: Technology and Cyber Risk Management	February 9, 2022	Insights will be gained from a November 30/21 OSFI Information Session webinar as to whether this OSFI consultation is CAFII-relevant and warrants a submission.