

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

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact  | Proposed Meeting   | Topics/Purpose   | Status<br>March 22/16 |
|--|--|--|--|-----------------------|
| <b>British Columbia</b>  |  |  |  |                       |
| <b>Insurance Council of BC:</b><br>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 |  | -repeal of residency requirement to serve on Council<br>-nationally harmonized LLQP implementation<br>-update on Council priorities<br>-communicate CAFII issues; maintain and strengthen relationship     |                       |
| <b>FICOM:</b><br>Carolyn Rogers , CEO, FICOM & Superintendent of Insurance (CCIR Vice-Chair)   | -Lunch meeting in Quebec City on April 30/15   | <b>May 4/16 lunch meeting in Halifax during CLHIA Conference</b>                                 | -FICOM Information Bulletin on CGI ('effecting' of CGI in BC issue)<br>-10 yr. Review of BC Financial Institutions Act (if appropriate)<br>-communicate CAFII issues; maintain and strengthen relationship | <b>Confirmed</b>      |
| Doug McLean, Deputy Superintendent of Insurance  | -No contact/meeting for at least past two years  |  | -See C. Rogers above   |                       |
| Chris Carter, Deputy Superintendent, Real Estate and Deputy Registrar, Mortgage Brokers <b>(lead on CGI Information Bulletin file as advised by H. James on March 16/16)</b> | <b>-CAFII follow-up letter, seeking clarification on CGI Info Bulletin key issues, sent March 15/16</b><br>-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               |
| Harry James, Senior Regulatory Advisor (Chair of CCIR's Travel Insurance Working Group)  | -Nov. 21/14: G. Grant chatted with H. James during FIA Review roundtable discussion  | <b>None</b>  | <b>On March 16/16, Harry advised CAFII that he was moving into a new internally-focused FICOM position (efficiencies/synergies and HR development) and would no longer be working on Policy matters</b>    | <b>N/A</b>            |

| Jurisdiction<br>Regulator/Policy-Maker  | Last Meeting /Contact  | Proposed Meeting   | Topics/Purpose   | Status<br>March 22/16                          |
|---|--|--|--|--|
| Molly Burns, Analyst, Policy Initiatives  | -Nov 10/15 in Vancouver re: FICOM Information Bulletin on “effecting” CGI contracts  |  |  |  |
| <b>Ministry of Finance:</b><br>Michael de Jong, Minister of Finance<br><br>Dan Ashton, Parliamentary Secretary for Finance (elected MLA)<br><br>Elizabeth Cole, Executive Director, Strategic Projects & Policy (head of 10-Year Review of FIA)<br><br>Brian Dillon, Director, Financial Institutions<br><br>Kari Toovey, Senior Policy Advisor<br><br>Heather Wood, Assistant Deputy Minister<br><br>Marcus Gill, Executive Director | -Nov. 21/14: G. Grant represented CAFII at FIA Review roundtable discussion hosted by Minister<br><br>-November 10/15 in Vancouver along with Elizabeth Cole<br><br>-November 10/15 in Vancouver along with Dan Ashton; and separate meeting along with Brian Dillon and Kari Toovey | If necessary, follow-up teleconference in 2016 to obtain further clarification on CAFII questions/issues<br><br>Possible follow-up meeting in Vancouver when Policy Paper is released in late 2016 | -10-year Review of Financial Institutions Act: follow-up on CAFII issues/concerns including recommendations of other stakeholders  | Pending<br><br><br><br><br><br><br><br>Pending |
| <b>Alberta</b>  |  |  |  |  |
| <b>Alberta Insurance Council:</b><br>Joanne Abram, CEO;   | <b>-CAFII position letter on AIC review of products suitable for sale under RIA licence sent Feb. 10/16, following Jan/16 and Oct./15 e-mail exchanges with J. Abram on same matter</b><br><br>-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)<br>-Representation for Restricted Licence Holders<br>-Licensing for 3 <sup>rd</sup> party providers<br>-Canadian Insurance Participant Registry (CIPR)<br>-nationally harmonized LLQP implementation<br>- Update on Council priorities<br>-Communicate CAFII issues; maintain and strengthen relationship | Pending  |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact  | Proposed Meeting  | Topics/Purpose   | Status<br>March 22/16 |
|--|--|---|--|-----------------------|
| Ron Gilbertson, Chair (2012-15)  | -Mar 17/14 lunch in Toronto<br>(M. Gill, J. Lewsen, B. Wycks)  |   |  |                       |
| Anthonet Maramieri, COO<br>(succeeded Tom Hampton at<br>beginning of 2015)   | -Feb 27/15: Toronto: B. Wycks<br>met A. Maramieri and had get<br>acquainted chat at CISRO LLQP<br>Stakeholder Info Session |   | See J. Abram above   |                       |
| Warren Martinson, Legal Counsel<br>(member of CISRO LLQP<br>Committee)   | -Feb 10/14: Toronto, ON  |   | See J. Abram above   |                       |
| <b>Treasury Board and Ministry of<br/>Finance:</b>   |  |   |  |                       |
| Nilam Jetha, Acting<br>Superintendent of Insurance (one<br>year interim role)  | No contact – appointed Jan<br>11/16 (congratulatory letter<br>sent Feb. 1/16)  |   | - Update on Superintendent's priorities<br>-Communicate CAFII issues; build and strengthen<br>relationship |                       |
| Mark Prefontaine, Superintendent<br>of Insurance (seconded to Senior<br>Asst. Deputy Minister for one<br>year, effective Jan. 11/16) | -Sep 30/14; Fredericton, NB<br>(informal meeting)  | Not applicable at this time                                   |  |                       |
| David Sorensen, Deputy<br>Superintendent of Insurance  | No face-to-face contact to date<br>- <i>appointed Sep 15/14</i>  |   | See N. Jetha above   |                       |
| Laurie Balfour, Director, Financial<br>Compliance, Insurance Regulation<br>and Market Conduct Branch                                 | -Sep 30/14: Fredericton, NB<br>(informal meeting)<br>-Jul 28/14: call with CAFII reps<br>re: "effecting of CGI"            | <b>-If Laurie is in Halifax for 2016<br/>CLHIA Conference</b> | <b>-See N. Jetha above</b>   | <b>Pending</b>        |
| Joe Ceci, President of Treasury<br>Board and Minister of Finance   | No contact – appointed May<br>24/15  | TBD   | TBD until CAFII has a "direct ask" at Ministerial<br>level   | Pending               |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact  | Proposed Meeting   | Topics/Purpose  | Status<br>March 22/16   |
|--|--|--|---|---|
| <b>Saskatchewan</b>  |  |  |   |   |
| <b>Insurance Councils of Saskatchewan:</b><br>Ron Fullan, Executive Director, (CISRO Chair)<br><br><br><br><br><br><br><br><br><br>April Stadnek, Director of Licensing  | -Oct. 27/15: R. Fullan gave dedicated CISRO LLQP Stakeholder Info presentation for CAFII members<br><br><br><br><br><br><br><br><br><br>-Sept 22/15 CISRO LLQP Stakeholder Info Session in Toronto (B. Wycks)<br>-Sep 30/14; Fredericton, NB (informal meeting)<br>-November/13 in Toronto when April attended CLHIA CCOSS Seminar | <b>-Meeting in Toronto, scheduled around April 11/16 CISRO LLQP Stakeholder Info Session</b><br><br>-Q2 2016 teleconference re CAFII proposals for Restricted Insurance Agents Advisory Committee. | -Restricted Insurance Agents Advisory Committee.<br>-Sask. RIA regime and licensure issues<br>-LLQP modernization<br>- Update on ICS and CISRO priorities<br>-Communicate CAFII issues; maintain and strengthen relationship<br><br><br><br><br><br><br><br><br><br>-See R. Fullan above  | <b>Pending</b><br><br><br><br><br><br><br><br><br><br>Pending |
| <b>Financial Consumer Affairs Authority (FCAA):</b><br>Roger Sobotkiewicz, former Director of FCAA Legal Branch, became Interim Chairperson and Superintendent of Insurance, effective Feb. 1/15<br><br><br><br><br><br><br><br><br><br>Ian McIntosh, Deputy Superintendent of Insurance | -no previous contact; congratulatory letter on appointment sent March 4/15<br><br><br><br><br><br><br><br><br><br>-Jul 28/14 call with CAFII reps re: "effecting CGI"  | -Teleconference meeting with FCAA officials in Q2 2016 re CAFII response to Draft Regulations, if necessary<br><br><br><br><br><br><br><br><br><br>Same as above                                   | -introduce CAFII and build relationship<br>-Regulations being developed following passage of <i>Bill 177, The Insurance Act (Saskatchewan)</i><br>-ISI: Representation for Restricted Licence Holders<br>- Update on Superintendent's priorities<br>-Communicate CAFII issues<br><br><br><br><br><br><br><br><br><br>-See R. Sobotkiewicz above | Pending<br><br><br><br><br><br><br><br><br><br>Pending        |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact   | Proposed Meeting  | Topics/Purpose   | Status<br>March 22/16 |
|--|---|---|--|-----------------------|
| Janette Seibel, Lawyer, became lead on Bill 177 and Regulations file effective June 1/15   | <p><b>-Regular e-mail exchanges since June 2015 re progress on draft Regulations, most recently Feb/16 (B. Wycks)</b></p> <p>-teleconference meeting, along with Jim Hall, on CAFII submission on Bill 177, on March 2/15</p>   | -Teleconference meeting with J. Seibel in Q2 2016 re explanation/clarification of Draft Regulations (once released) | -Regulations being developed following passage of <i>Bill 177, The Insurance Act (Saskatchewan)</i>  | Pending               |
| <b>Manitoba</b>  |   |   |  |                       |
| <p><b>Ministry of Finance:</b><br/>Ken Lofgren, Acting Superintendent of Insurance</p> <p>Scott Moore, Deputy Superintendent of Insurance</p> <p>Greg Dewar, Minister of Finance</p> | <p>-Appointed Spring 2015; no previous CAFII contact</p> <p>-April 15/15 teleconference with three CAFII reps re concern about amended Insurance Act's apparent residency requirement for employees of Restricted Insurance Agents</p> <p>-April 29/14: Winnipeg, MB</p> <p>No contact – appointed Nov/14</p> | TBD   | <p>-Introduce CAFII and build/maintain relationship</p> <p>-Implementation of ISI regime</p> <p>-Representation for Restricted Licence Holders</p> <p>-Update on Insurance Act Review</p> <p>-LLQP modernization</p> <p>-Update on Superintendent's and Council's priorities</p> <p>-Communicate CAFII issues</p> <p>TBD until CAFII has "direct ask" at Ministerial level</p> |                       |
| Erin Pearson, Executive Director, Insurance Council of Manitoba:   | <p>-Oct. 8/15 at CLHIA CCOS Fall Seminar (B. Wycks)</p> <p>-Sept. 30/14: dinner in Fredericton, NB re: ISI implementation</p>   |   | Same as above; and Insurance Council's "ISI items for further review and development"  |                       |

| Jurisdiction<br>Regulator/Policy-Maker  | Last Meeting /Contact   | Proposed Meeting   | Topics/Purpose   | Status<br>March 22/16 |
|---|---|--|--|-----------------------|
| <b>Ontario</b>  |   |  |  |                       |
| <b>FSCO:</b><br>Brian Mills, appointed Interim<br>CEO and Superintendent on<br>October 18/14  | -January 28/15 stakeholder<br>meeting with CCIR   | -Awaiting clarification of<br>appointment status, emerging<br>from Ontario review of FSCO<br>mandate                               | (i)Introduce CAFII and build/maintain relationship<br>(ii) Ontario government review of FSCO's mandate<br>(iii) next steps, if any, in Life Insurance Product<br>Suitability Review<br>(iv)CCIR review of travel insurance<br>(v) LLQP modernization<br>(vi)enhancing the national CRS<br>(vii)Update on Superintendent's priorities<br>(viii)communicate CAFII issues | Pending               |
| Anatol Monid, Interim Executive<br>Director, Licensing and Market<br>Conduct Division<br><br><br><br><br><br><br><br><br><br>Izabel Scovino, appointed<br>Director, Market Conduct<br>Regulation Branch in Nov/14           | -December 8/15 and June 9/15:<br>Informal update conversations<br>with A. Monid at CAFII<br>Reception events<br><br><br>-January 28/15 stakeholder<br>meeting with CCIR<br><br>-Oct. 8/15 at CLHIA CCOS Fall<br>Seminar (B. Wycks)<br>-Nov 21/14 at FSCO Life &<br>Health Insurance Symposium |  | Item (iii) above<br><br><br><br><br><br><br><br><br><br>Item (vi) above  |                       |
| <b>Ministry of Finance</b><br><br>Charles Sousa, Minister<br><br><br><br><br><br><br><br><br><br>Three-member Expert Panel<br>advising on Government's review<br>of FSCO's mandate<br><br><br>-David McLean, Policy Advisor | -CAFII made submission to<br>OMAF on "Proposed<br>Regulations Related to Parts V<br>and VII of the Insurance Act" on<br>May 19/15<br><br><br>-May 21/15 informal meeting<br><br>-July 30/15 life & health<br>insurance sector roundtable<br>meeting (P. McCarthy and G.<br>Grant)             | -Awaiting release of Expert<br>Panel's final report to<br>Minister on proposed future<br>mandate of FSCO (expected<br>Spring 2016) |  | Pending               |

| Jurisdiction<br>Regulator/Policy-Maker  | Last Meeting /Contact   | Proposed Meeting   | Topics/Purpose   | Status<br>March 22/16                          |
|---|---|--|--|--|
| <b>Quebec</b>   |   |  |  |  |
| <b>AMF:</b><br>Louis Morisset, CEO;<br><br>Patrick Dery, Superintendent,<br>Solvency (appointed CCIR Chair<br>effective April 1/15)<br><br>Eric Stevenson, Superintendent,<br>Client Services and Distribution<br>Oversight                   | -Apr 8/14: Montreal, QC<br><br>-Liaison lunch and industry<br>issues dialogue on October<br>6/15 in Levis, Quebec<br><br>-Liaison lunch and industry<br>issues dialogue on October<br>6/15 in Levis, Quebec | -Oct. 4/16 in Montreal: CAFII<br>annual liaison meeting<br><br><b>CAFII proposed early May<br/> meeting in Halifax, during<br/> CLHIA Conference</b>   | -(i)AMF final paper on electronic commerce in<br>insurance, setting out Orientations/expectations<br>-(ii)Distribution Guide template and<br>implementation timelines<br>-LLQP modernization<br>-enhancing the national CRS<br>-Update on AMF priorities<br>-Communicate CAFII issues<br>-Maintain and strengthen relationship<br>-See above | Pending<br><br><b>Invitation<br/> declined</b> |
| Ministry of Finance<br><br>Carlos Leitao, Minister<br><br>Richard Boivin, Assistant Deputy<br>Minister, Financial Institution<br>Policy and Corporate Law<br><br>Guillaume Caudron, Chief of Staff<br><br><b>Yann Nachabé, Policy Advisor</b> | N/A   | -In Feb. 25/16 phone call<br>with B. Wycks, Yann Nachabé<br>provided reassuring news re<br>Ministry's direction on online<br>distribution of insurance<br>without involvement of an<br>advisor<br><br>-April 2016 in-person follow-<br>up meeting with Richard<br>Boivin and Guillaume<br>Caudron, only if necessary | -Internet insurance offerings in Quebec under DWR<br>regime<br>-CAFII submission in response to Report on the<br>Application of the Act respecting the distribution of<br>financial products and services  | <b>Pending</b>                                 |
| <b>New Brunswick</b>  |   |  |  |  |
| <b>Financial and Consumer Services<br/> Commission (Insurance Division):</b><br>Angela Mazerolle, Superintendent<br>of Insurance  | Oct 1/14: Fredericton, NB   | <b>-May 4/16 dinner meeting<br/> with Atlantic Canada<br/> regulators during CLHIA<br/> Conference in Halifax</b>  | -implementation of online licensing system<br>-legislative/regulatory change to support electronic<br>beneficiary designations<br>-other New Brunswick licensing issues  | <b>Confirmed</b>                               |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact   | Proposed Meeting   | Topics/Purpose  | Status<br>March 22/16 |
|--|---|--|---|-----------------------|
| David Weir, Deputy<br>Superintendent of Insurance  | <b>-Feb. 19/16 teleconference re CAFII feedback on New Brunswick online insurance licensing system</b><br><br>-Sept. 22/15 CISRO LLQP Info Session in Toronto (B. Wycks)<br>-June 9/15 teleconference re New Brunswick licensing issues<br>-Oct 1/14: Fredericton, NB | <b>-May 4/16 dinner meeting with Atlantic Canada regulators during CLHIA Conference in Halifax</b> | -provide CAFII feedback on Phase 1 of NB online insurance licensing system; and hoped-for functionality in Phase 2<br><br>-See A. Mazerolle above   | <b>Confirmed</b>      |
| <b>Opportunities New Brunswick:</b><br>Jay Reid, Investment Attraction Officer<br><br><b>Consumer Advocate for Insurance:</b><br>Ronald Godin, Consumer Advocate | -Jun 3/14: Toronto, with Adam Mitton of predecessor organization Invest New Brunswick<br><br>No contact   |  | - CAFII submission re: Insurance Act and regulatory process changes necessary to support business efficiency and further inbound investment and additional jobs in New Brunswick<br>-Introduce CAFII and build relationship<br>-Position CAFII as an information resource |                       |
| <b>Nova Scotia</b>   |   |  |   |                       |
| <b>Superintendent of Insurance:</b><br>William Ngu, Acting<br>Superintendent of Insurance  | -Appointed June 2015; no previous CAFII contact   | <b>-May 4/16 dinner meeting with Atlantic Canada regulators during CLHIA Conference in Halifax</b> | -Review of life and accident & sickness provisions of Insurance Act<br>-legislative/regulatory change to support electronic beneficiary designations<br>-Update on Superintendent's priorities<br>-Communicate CAFII issues; build and strengthen relationship            | <b>Confirmed</b>      |
| Jennifer Calder, Deputy<br>Superintendent of Insurance   | Oct 1/14: Fredericton, NB (participated by teleconference)  | <b>-May 4/16 dinner meeting with Atlantic Canada regulators during CLHIA Conference in Halifax</b> |   | <b>Confirmed</b>      |



| Jurisdiction<br>Regulator/Policy-Maker                                | Last Meeting /Contact   | Proposed Meeting  | Topics/Purpose   | Status<br>March 22/16 |
|---|---|---|--|-----------------------|
| <b>PEI</b>  |   |   |  |                       |
| <b>Superintendent of Insurance:</b><br>Robert Bradley, Superintendent | -Oct 1/14: Fredericton, NB  | <b>-Unable to attend May 4/16 in Halifax</b>  | -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)<br>-legislative/regulatory change to support electronic beneficiary designations<br>-Update on Superintendent's priorities<br>-Communicate CAFII issues<br>-Maintain and strengthen relationship  |                       |
| <b>Newfoundland</b>   |   |   |  |                       |
| <b>Superintendent of Insurance:</b><br>John O'Neill, Superintendent   | -N/A; appointed in October 2015   | <b>-Unable to attend May 4/16 in Halifax</b>  | -legislative/regulatory change to support electronic beneficiary designations<br>-Update on Superintendent's priorities<br>-Communicate CAFII issues; build and strengthen relationship  |                       |
| Craig Whalen, Deputy Superintendent of Insurance                      | Oct 1/14: Fredericton, NB   | <b>-Unable to attend May 4/16 in Halifax</b>  |  |                       |
| <b>FEDERAL/NATIONAL</b>   |   |   |  |                       |
| <b>CCIR:</b><br>Martin Boyle, Policy Manager                          | <b>-January and March 2016 phone calls and e-mail exchanges (B. Wycks) re updates on Annual Statement on Market Conduct</b><br><br>-December 8/15 CAFII Reception (Martin only) | <b>-April 12/16 liaison lunch meeting for B. Wycks and small group of EOC members with M. Boyle and S. Jacobs</b> | -Annual Statement on Market Conduct (Martin)<br>-Framework for Cooperative Market Conduct Supervision (Martin)<br>-Review of Travel Health Insurance (Sean)<br>-Possible CCIR speakers/panelists at CAFII events<br>-Update on CCIR 2014-17 Strategic Plan and related priorities<br>-Communicate CAFII issues; and maintain and strengthen relationship<br>-possible CAFII webinar(s) for CCIR audience | <b>Confirmed</b>      |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact  | Proposed Meeting   | Topics/Purpose  | Status<br>March 22/16      |
|--|--|--|---|----------------------------|
| Sean Jacobs, Policy Manager  | - <b>March 16/16 CAFII/CLHIA joint stakeholder meeting with CCIR Travel Insurance Working Group</b>  |  |   |                            |
|  | -Nov. 20/15 relationship transition lunch meeting with three CCIR Policy Managers (C. Shevlin, S. Jacobs and M. Boyle)   |  |   |                            |
| Patrick Déry, Chair<br>(Superintendent, Solvency, AMF)   | -Liaison lunch and industry issues dialogue on October 6/15 in Levis, Quebec<br>-April 29/15 meeting in Quebec City, along with CCIR Vice-Chair Carolyn Rogers                                       | <b>CAFII proposed early May meeting in Halifax, during CLHIA Conference</b>                                | -CCIR review of travel health insurance<br>-Update on CCIR 2014-17 Strategic Plan and related priorities<br>-Communicate CAFII issues; maintain and strengthen relationship | <b>Invitation declined</b> |
| Carolyn Rogers, CCIR Past-Chair and current Vice-Chair<br>(also Chair of CCIR OmbudServices Oversight Committee) | -April 29/15 in Quebec City, along with CCIR Chair Patrick Dery  | <b>-May 4/16 lunch meeting in Halifax during CLHIA Conference</b>  | See P. Dery above   | <b>Confirmed</b>           |
| Harry James, Chair, CCIR Travel Insurance Working Group (TIWG)   | - <b>March 16/16 CAFII/CLHIA joint stakeholder meeting with CCIR Travel Insurance Working Group</b><br>-March 24/15 meeting with CAFII EOC re draft industry survey of travel insurance underwriters | -June or Sept 2016 meeting with Harry and other TIWG members, following release of Issues/Discussion Paper | -issues/questions set out in Issues/Discussion Paper for industry consultation  | <b>Pending</b>             |
| Laurie Balfour, Chair, CCIR Insurance Core Principles Implementation Committee (ICPIC)                           | No previous contact in her role as Chair of ICPIC  | -If Laurie is attending May 4-6 CLHIA CCOSS Conference in Halifax  | - <b>Framework for Co-operative Market Conduct Supervision in Canada</b><br>- <b>Harmonized Annual Statement on Market Conduct</b>  | <b>Pending</b>             |

| Jurisdiction<br>Regulator/Policy-Maker   | Last Meeting /Contact   | Proposed Meeting   | Topics/Purpose  | Status<br>March 22/16 |
|--|---|--|---|-----------------------|
| <b>CISRO:</b><br>Ron Fullan, Chair (SK); G. Matier (BC); J. Abram (AB), W. Martinson (AB); D. Weir (NB)  | <b>-March 16/16 CAFII/CLHIA joint stakeholder meeting with CCIR Travel Insurance Working Group</b><br>-Oct. 27/15: R. Fullan gave dedicated CISRO LLQP Stakeholder Info presentation for CAFII members  | <b>-April 11/16 CISRO LLQP Stakeholder Info Session in Toronto</b>   | -implementation of new, nationally harmonized LLQP<br>-possible CISRO Strategic Plan  | <b>Confirmed</b>      |
| <b>Office of the Superintendent of Financial Institutions (OSFI):</b><br>Jeremy Rudin, Superintendent,   | No contact – appointed June 2014  | None   | -introduce/educate about CAFII, CGI and alternate distribution<br>-build relationship<br>-invite to be speaker at a CAFII Reception event | Watch/<br>monitor     |
| <b>Ombudsman for Banking Services and Investments (OBSI):</b><br>Sarah Bradley, Ombudsman and CEO  | No contact – appointed Sept. 2015   | None   | -TBD  | Watch/<br>monitor     |
| <b>Financial Consumer Agency of Canada (FCAC):</b><br>Lucie Tedesco, Commissioner<br><br>Brigitte Goulard, Deputy Commissioner<br><br>Jane Rooney, Financial Literacy Leader<br><br>Jeremie Ryan, Director, Financial Literacy and Consumer Education<br><br>Karen Morgan, Marketing Officer | -May 1/15: B. Wycks made self-introduction and chatted with L. Tedesco, following her speech at CLHIA Conference<br><br>-Jun 10/14: B. Goulard was speaker at CAFII event<br><br>-Feb 10/15 (presentation at CAFII Annual Luncheon)<br><br>-Feb. 10/15<br><br>-Jan 9/14 | <b>-Q2 or Q3 teleconference meeting, if necessary, re questions/issues raised in consultation document</b> | <b>- FCAC consultation on its supervisory/compliance framework (Spring 2016 release of document expected)</b>                             | <b>Pending</b>        |