

**Agenda Item 5(b)**  
**December 7/21 Board Meeting**

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

| <b><u>Regulatory Authority</u></b> | <b><u>Topic</u></b>   | <b><u>Deadline</u></b> | <b><u>Comments</u></b>  |
|------------------------------------|---|------------------------|---|
| 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      | <a href="https://www.canada.ca/en/financial-consumer-agency/corporate/transparency/consultations/complaint-handling-procedures.html">https://www.canada.ca/en/financial-consumer-agency/corporate/transparency/consultations/complaint-handling-procedures.html</a> |
| 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.  |