

## Report on Compliance with the Business Continuity Plan Requirement

To: Dealer Member  
cc: IIROC

We have performed the following procedures in connection with the regulatory requirements for (Dealer Member) \_\_\_\_\_ to develop and maintain a business continuity plan (BCP) as outlined in IIROC Rule 17.16 and other documents issued by the IIROC.

Compliance with the business continuity planning requirement is the responsibility of the management of the Dealer Member. Our responsibility is to perform the procedures requested by you.

1. We read the Dealer Member's written business continuity plan to determine whether such plan meet the minimum requirements as prescribed by Rule 17.16, the BCP Plan Development Guidelines (Guidelines) and the BCP Adequacy Checklist (Checklist) in regards to establishing and maintaining a BCP.
2. We obtained representation from senior management of the Dealer Member that the Dealer Member's BCP is adequate and sufficient to enable client access to their assets within a 48-hour period following a significant business disruption.
3. We read the BCP document to determine whether the plan covered all critical activities as defined in the Guidelines and as detailed in the Checklist.
4. We requested and obtained confirmation from third party/external dependencies, other than those that provided confirmations of their continuity plans directly to IIROC.
5. We wish to further confirm the following:
  - The plan was last updated and approved by senior management of the Dealer Member on \_\_\_\_\_.
  - The Dealer Member has completed a business impact analysis and identified its critical functionalities pertinent to their operations and they have tailored their BCP to deal with these functionalities
  - The Dealer Member has arranged for its hardware, critical software, and data records to be backed up off site.
  - The Dealer Member is planning to test the BCP plan annually
  - The Dealer Member's staff is being made aware of the BCP plan

- Procedures are in place to notify clients who to contact in case of a significant business disruption
- The plan's responsibility has been assigned to (name and title)

As a result of applying the above procedures, we found the following exceptions: (list of exceptions):

This report is for the sole use of the Dealer Member and the Investment Industry Regulatory Organization of Canada (IIROC) to assist in their assessment of the Dealer Member's compliance with the requirement to maintain a business continuity plan as outlined in the IIROC's rules and not for any other purpose.

(Independent Reviewer) (Date)  
(Signature) (Place of issue)