

[insert date]

Annual CEO Business Continuity Plan Certification

To: IIROC

From: ***[insert name of Dealer Member]***

This will certify that, in accordance with the IIROC Rule 17.16, our business continuity plan (Plan) is in compliance with IIROC's Business Continuity Plan Development Guidelines (Guidelines) and the BCP Adequacy Checklist (Checklist) which were published in 2005-06. The Plan covers all our critical activities as detailed in the Checklist and is adequate for our business model. The Plan will enable our client's access to their assets within 48 hours following a significant business disruption.

We further certify that:

- (1) We test our plan at least annually to ensure that it functions as intended. Any deficiencies are noted and appropriate action taken to resolve them. We conducted the last test of the Plan on ***[specify date or period]***
- (2) We last updated our Business Continuity Plan on ***[specify date]***
- (3) The Plan was last approved by Senior Management on ***[specify date]***
- (4) We have procedures in place to failover business processes and incoming telephone lines to our back-up site or to notify clients who to contact in case of a significant business disruption.
- (5) We have assigned responsibility for the Plan to ***[insert name, title, telephone number and email address]***

[signed by CEO or equivalent]

[Name , Title]

[Name of Dealer Member]

[Date]