

[insert date]

Annual CEO Business Continuity Plan Certification

To: IIROC

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

This will certify that, in accordance with IIROC Rule 17.16, our business continuity plan (Plan) is reasonably designed to enable our firm to stay in business in the event of a future significant business disruption in order to meet obligations to our customers and capital markets counterparts and is derived from our assessment of our critical business functions and required levels of operation during and following a 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 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]