

Recent activity in support of our SRO proposal.

Board Chair Brian Evans, Vice-Chair Frank Miemiec, RDBA consultant Guy Marini, and Director of Business Development John Egar met with senior representatives from government, agencies, and regulators to confirm their recognition of the gap in **oversight of independent Deposit Brokers and to gain their support for the RDBA's proposal** to become the SRO for our distribution channel.

Finance Canada & OSFI - June 25, 2020

IIROC - July 17, 2020

Ontario Securities Commission - August 13, 2020

CSA Chairs of IIROC and MFDA Oversight Committees - August 25, 2020

FCAA Saskatchewan - September 23, 2020

FINTRAC - September 28, 2020

Finance Canada & OSFI (update meeting) - October 22, 2020

FCAC - November 16, 2020

FCAA Saskatchewan (second meeting) - April 13, 2021

The RDBA made submissions to the Capital Markets Modernization Taskforce Consultation Report on September 4, 2020 and the CSA Consultation on the Self-Regulatory Organization Framework on October 21, 2020.

We continue to have dialogue with many of these stakeholders in the distribution compliance space. Our aim is to ensure a broker compliance regime that protects consumers and the financial system while doing so in an efficient way for all stakeholders.

April 2021