

## CIPF Exemption and Approval Request Form

### Part I: Instructions and CIPF Review Process

#### Submission of request

To submit an exemption/approval request with respect to the CIPF Disclosure Policy, effective February 10, 2021, member firms are to:

- 1) Complete this CIPF Exemption and Approval Request Form (the Form).
- 2) Submit the completed Form to CIPF by email or letter.
  - Email – Send to [info@cipf.ca](mailto:info@cipf.ca) or a specific CIPF staff member (if the member firm has been in prior contact with that person).
  - Letter – Mail to:

Canadian Investor Protection Fund  
First Canadian Place, 100 King Street West  
Suite 2610, P.O. Box 481  
Toronto, Ontario M5X 1E5

#### Acknowledgement of receipt

Member firms will receive an email or letter from CIPF confirming receipt of their request generally within 2 to 3 business days of CIPF receiving a completed Form. CIPF may request additional information or clarification from the member firm at any time during its review.

#### Final determination by CIPF

CIPF generally aims to provide member firms with a final determination regarding the request within 4 to 5 weeks of receiving a completed Form, **OR** within 4 to 5 weeks from the date on which, in CIPF's view, complete information regarding the member firm's request was received by CIPF.

Additional time may be required by CIPF to review requests that are more complex or would entail a significant departure from the requirements outlined in the CIPF Disclosure Policy. In such instances, CIPF will advise the member firm that the review will take longer and will provide an estimate regarding the timing for completion of the review.

**Part II: Information Submitted by Member Firm**

Please provide a response to all items below. If an item is not applicable, indicate “n/a” in your response.

<b>Date of submission:</b>
1. Provide the name of the member firm (legal name of the IIROC-regulated firm).
2. Provide the name, title, email and phone number of the main contact person(s) at the member firm with whom CIPF should liaise regarding the request.
3. Are there any timing considerations of which CIPF should be aware with respect to providing a final determination on the request? If yes, please explain.
4. List the specific provision(s) in the CIPF Disclosure Policy, effective February 10, 2021, from which the member firm is seeking an exemption.
5. If the member firm is seeking approval for proposed disclosure about CIPF for broad distribution under section 9(a) of the CIPF Disclosure Policy, complete items 5(i) – 5(iii). Otherwise, indicate “n/a” in response to item 5 and proceed to item 6.  (i) Provide the specific disclosure that the member firm is proposing to use.

(ii) Describe where and how the proposed disclosure would be communicated (for example, the member firm's website or social media, client email communication). If applicable, indicate the frequency or duration of the disclosure.

(iii) Describe to whom the proposed disclosure would be made available or directed (for example, the member firm's clients, or the general public).

6. Describe any steps you have taken to comply with the CIPF Disclosure Policy prior to seeking the exemption/approval request from CIPF.

7. Describe how the member firm and other relevant parties may be impacted if the request is not approved by CIPF.

8. Explain why you think the request should be approved by CIPF and any other considerations that you think CIPF should consider as part of its review.

9. If the member firm has made any prior requests with respect to the CIPF Disclosure Policy, please provide the relevant details, including the subject of the prior request, date of the prior request, reasons for the prior request and the final determination by CIPF.