

Appendix 1 – Board Resolution

BOARD RESOLUTION

AMENDMENTS TO RULES 1200, 2500, 2600, 2700 and 3900 RELATING TO REGISTRATION AND PROFICIENCY REQUIREMENTS

BE IT RESOLVED ON THE 28TH DAY OF JUNE, 2023 THAT:

1. The English and French versions of the proposed amendments to Rules 1200, 2500, 2600, 2700 and 3900 of the Investment Dealer and Partially Consolidated Rules regarding registration and proficiency requirements, in the form presented to the Board of Directors:
 - (a) are approved for publication for public comment,
 - (b) are approved for submission to the Recognizing Regulators for review and approval,
 - (c) are determined to be in the public interest in accordance with the guiding principles set out in the Canadian Investment Regulatory Organization's Recognition Order, and
 - (d) are approved for implementation if there are no:
 - (i) material comments from the public or Recognizing Regulators, and
 - (ii) material revisions made.
2. The President and CEO is authorized to approve such non-material changes to the proposed amendments prior to publication and/or implementation as the President and CEO considers necessary and appropriate.