

To:	Assante Capital Management Ltd.	Re:	CIRO and CIPF Rebrand Update
From:	Kaella Bubel, Chief Compliance Officer	Effective date:	November 11, 2024

WHAT YOU NEED TO KNOW

As you know, the Investment Industry Regulatory Organization of Canada (IIROC) and Mutual Fund Dealers Association (MFDA) were amalgamated and renamed the Canadian Investment Regulatory Organization (CIRO). Additionally, the Canadian Investor Protection Fund (CIPF) is the approved single investor protection fund formed through the amalgamation of the former Canadian Investor Protection Fund (CIPF) for investment dealer accounts and the MFDA Investor Protection Fund (IPC) for mutual fund dealer accounts (except mutual fund dealer accounts in Quebec).

As a result of these changes, Assante and its branches are required to update all MFDA and IIROC names and logos to CIRO, and former CIPF or MFDA IPC names and logos to the new CIPF, as per the specific membership disclosure requirements that are applicable to their registration category by December 31, 2024.

Assante has been updating the disclosures to corporate materials in the background, including client forms, account statements, trade confirmations, software outputs, marketing, and policy manuals. All client and public facing materials, including corporate websites, will be updated before the December 31st deadline.

ACTION REQUIRED

The following tables outline the new membership disclosure requirements for Assante Capital Management Ltd. (ACM) which also must be completed by December 31, 2024.

Assante Capital Management Ltd.		
Item/Marketing Initiative	Old Disclosure Requirement(s)	New Disclosure Requirement(s)

Websites *	Assante Capital Management Ltd. is a member of the Canadian Investor Protection Fund and the Investment Industry Regulatory Organization of Canada.	Assante Capital Management Ltd. is a Member of the Canadian Investor Protection Fund and the Canadian Investment Regulatory Organization.
	“Regulated by IIROC” logo hyperlinked to www.iiroc.ca	“Regulated by CIRO” logo hyperlinked to www.ciro.ca
	Old CIPF logo hyperlinked to www.cipf.ca	New CIPF logo hyperlinked to www.cipf.ca
	“Know Your Advisor: Advisor Report” hyperlinked to the old IIROC website: https://www.iiroc.ca/sections/investors/choosing-investment-advisor/know-your-advisor-iiroc-advisor-report	“Know Your Advisor: Advisor Report” hyperlinked to the CIRO website: https://www.ciro.ca/office-investor/know-your-advisor-advisor-report