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Member Regulation Policy
Canadian Investment Regulatory Organization (CIRO)
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cc:

Trading and Markets, Ontario Securities Commission – TradingandMarkets@osc.gov.on.ca
Market Oversight, Alberta Securities Commission – CIRO-Reporting@asc.ca

Re: Support for Proposed Incorporated Approved Person Compensation Option (CIRO Bulletin 26-0150)

To Whom It May Concern,

I am writing as a financial advisor at Aligned Capital Partners Inc. to echo and support CI Wealth's recent submission regarding the proposed Incorporated Approved Person compensation option.

This proposal is a necessary modernization for the Canadian wealth management sector. Today's advisors manage complex operations—spanning financial, retirement, estate, and insurance planning. Allowing incorporated structures aligns regulatory frameworks with modern business realities without compromising investor protection.

Harmonizing these rules across registration categories levels the playing field, eliminating arbitrary distinctions between advisors performing the same work. Furthermore, incorporation equips us to reinvest in our practices, streamline succession planning, and attract new talent. Ultimately, a stronger advisory practice translates to better, more accessible financial advice for Canadians.

I fully support maintaining rigorous dealer supervision and investor safeguards within this new model. Accountability must remain paramount. I strongly encourage CIRO to finalize this proposal and implement a seamless, low-burden transition process.

Thank you for the opportunity to provide my feedback on this crucial initiative.

Sincerely,

All the best...

Vaughn Warrington, CFP®, FMA

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