



**Consensual Agreement and Undertaking**

("Agreement")

Bylaw 7(5)(3)(b)

between

**The Complaints and Investigation Committee**

("Committee")

of

**The Life Insurance Council of Saskatchewan**

("Council")

and

**Carl Bernard Brodie**

("Brodie")

1. **Brodie acknowledges and agrees that they violated Council Bylaws when:**
  - a) he acted contrary to Bylaw 2(1)(4)(d) by failing to immediately notify Council of cancellation or non-renewal of his E&O.
2. Brodie's right to appear before a Discipline Hearing Committee of Council has been explained to him and he fully understands his rights and/or obligations under Council Bylaw 10.
3. Brodie waives his right to appear before a Discipline Hearing Committee and undertakes not to exercise any appeal rights he may have under Council Bylaw 10, Section 3 or *The Saskatchewan Insurance Act*, ("Act") as it relates to matters set out in this Consensual Agreement and Undertaking.
4. This Agreement does not preclude Council from pursuing any other investigation against Brodie for activities not identified in this Agreement that may be in violation of Council Bylaws or the Act.
5. Brodie has been advised by the Committee that it is in his interest to obtain independent legal advice before entering into this Agreement. Brodie has either:
  - a) obtained such independent legal advice and are satisfied with the same, prior to executing this Agreement; or,
  - b) willingly chosen not to obtain such advice prior to executing this Agreement.
6. Brodie hereby affirms that he has read and understands the terms of this Agreement and is signing it voluntarily and of his own free will.



## Consensual Agreement and Undertaking Carl Bernard Brodie

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### **Brodie, having waived its rights, undertakes to:**

Pay the amount of \$1000.

### **The Committee's Agreement:**

1. The Committee agrees to accept from Brodie the payments of \$1000 as full and final resolution of this violation of Council's Bylaws as outlined in this Agreement.
2. The Committee further agrees to take no further action against Brodie for the acknowledged violations of Council's Bylaws that are set out in this Agreement.

Dated at Vancouver, in the province of, BC, this 9<sup>th</sup> day of May, 2019  
(Town/City) (Month) (Year)

Originally signed by \_\_\_\_\_  
**Carl Bernard Brodie**

Dated at Saskatoon, in the province of, SK, this 6<sup>th</sup> day of June, 2019  
(Town/City) (Month) (Year)

Originally signed by \_\_\_\_\_  
**Roderick Baxter, Co-Chair, Complaints and Investigation Committee**  
**Life Insurance Council of Saskatchewan**

Dated at Saskatoon, in the province of, SK, this 7<sup>th</sup> day of June, 2019  
(Town/City) (Month) (Year)

Originally signed by \_\_\_\_\_  
**Stacy Hnatiuk, Co-Chair, Complaints and Investigation Committee**  
**Life Insurance Council of Saskatchewan**

Bylaw 5, Section 1, subsection 1 reads: "*The administrator shall, in addition to the requirements for the contents of a register required by the Act and the regulations, record on the register the existence and results of all disciplinary decisions or orders, court orders, alternative dispute resolution agreements, undertakings and mediation agreements involving a licensee or a person to whom the council has the authority to issue a licence.*" Disciplinary actions as described are reported on the Insurance Councils of Saskatchewan website and the Canadian Insurance Regulators Disciplinary Actions (CIRDA) database.