



Appendix A – Compliance Course

Rule 2653(1)(i) describes the Compliance course requirement of IIROC's CE Program. Some examples of relevant topics include:

1. Securities laws, regulations, and proposed changes
2. Disclosure of information to clients
3. Conduct standards
4. Supervisory responsibilities
5. Operations and firm capital
6. Effective compliance programs
7. Current developments in bond market regulation
8. Suitability and new products
9. Corporate finance – new and proposed rules
10. Ethical issues and practices in the securities industry
11. Conflicts of interest
12. Professional responsibility
13. Risk management techniques
14. Consequences of non-compliance in the securities industry
15. Anti-money laundering and terrorist financing for securities industry professionals
16. Ethical practices in the securities industry
17. Regulatory developments that affect firm management
18. Corporate governance
19. Use of social media and technology
20. Know your product
21. CRM2
22. Cyber security
23. Best interest standard
24. Dealing with senior investors
25. Privacy legislation
26. Sales and trading – institutional markets
27. Screening for suitable clients