

IIROC NOTICE

Rules Notice Technical

Dealer Member Rules

Please distribute internally to:

Legal and Compliance
Registration
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Training

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15-0002
January 6, 2015

Voluntary Participation in Continuing Education Update

Approved Course List Update January 2015 – Conduct and Practices Handbook Course (CPH)

The CPH is currently not an approved course for the 12 hour Compliance credits for Voluntary Participation in Continuing Education (CE). It is accepted only on an exception basis.

As per Rule 2900, Part III, Voluntary Participation Course Requirements, approval for inclusion on the Approved Course List for Voluntary Participation in CE must be reviewed by the Corporation.

The CPH is considered to be a basic proficiency requirement for approval as a Registered Representative, Retail. The intent of Voluntary Participation for individuals is to build upon or refresh the information already taken.



As per Rule 2900, Part III, E. (2), individuals can re-write their basic proficiencies, become approved and utilize these re-written courses to apply towards their current CE requirements in the current CE cycle. This principle of utilizing the re-writes that are basic proficiencies for meeting the registrant's individual CE requirements supports the idea that the CPH could be utilized for meeting the Voluntary Participation 12 Compliance credits requirement.

It has therefore been determined it would be beneficial for non-industry individuals, past approved individuals and member firms to include the CPH on the Voluntary Participation List of Approved Courses.

The CPH can be completed for meeting the Voluntary Participation 12 Compliance credits for all individual applicants with no restrictions.

The List of Approved Courses will be updated to include the CPH to commence in CE Cycle 6 (January 1, 2015).