

IIROC NOTICE

Administrative Notice Request for Applications

Applications Due By: February 2, 2017

Please distribute internally to:

Education and Training
Institutional
Legal and Compliance
Senior Management
Trading Desk
Retail

Contact:

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Director, Proficiency
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**16-0302
December 22, 2016**

IIROC Proficiency Committee – Call for Applications

Executive Summary

IIROC seeks applications for membership on the Proficiency Committee, a new advisory committee of IIROC. This committee replaces the Education and Proficiency Committee and Continuing Education Subcommittee.

Proficiency Oversight

In 2014 and 2015 IIROC conducted an in-depth regulatory review and consultation with respect to its proficiency assurance model. As a result of that review, IIROC determined that it should create a regulatory program to oversee the quality of the courses that IIROC requires for licensing purposes. IIROC has also undertaken to develop and publish competency standards that will govern these courses.

Committee Mandate

The mandate of the Committee is to advise IIROC on matters relating to proficiency policy and operations. This includes matters relating to licensing standards and continuing education.



The Committee will be an important source of practical industry expertise and input.

Work of the Committee

The Committee will support IIROC's proficiency work through the following activities:

- advising on proficiency policy and operations
- assisting in IIROC's development of competency standards
- reviewing course material and course proposals, including proposals relating to content, instructional design, etc.

IIROC may strike ad hoc working groups or committees to conduct some of these activities.

Committee Membership

The Committee will be comprised of a floating number of members to a maximum of fifteen.

Committee membership will aim to draw from the expertise of Dealer Member personnel with experience in the following areas:

- senior management
- compliance and legal
- education and training
- retail
- institutional

We also seek Committee members with expertise in proficiency matters (including individuals not employed by Dealer Members).

We will aim to achieve a membership that reflects the different sizes and types of Dealer Members and different regions of Canada.

Why get involved?

IIROC has high proficiency standards and a robust proficiency regime.

Proficiency is a strategic priority for IIROC. High proficiency standards play a key role in investor protection and the integrity and efficiency of capital markets.

Our collaboration will ensure continuation of the highest levels of proficiency, professionalism and ethics on the IIROC platform.



Conduct and Conflicts

Committee members may not consult or work for organizations that provide IIROC proficiency courses, including the Canadian Securities Institute (CSI). Applications must disclose any previous relationships with CSI or any other financial services education provider.

Committee members will be subject to a Code of Conduct and, given the nature of the work of the Committee, a confidentiality agreement.

Application and Appointment Process

Committee members are appointed by the President and CEO of IIROC, or his/her designate, on the advice of IIROC Proficiency Staff.

Members are appointed for a term of two years. The term may be renewed at the discretion of the President and CEO of IIROC or his/her designate.

We will consider all applications that we receive by February 2, 2017.

Please forward your applications and/or inquiries to:

Lindsey Mahoney
Proficiency Specialist
IIROC
lmahoney@iiroc.ca

Applications will be accepted until February 2, 2017.