

**Courses recognized by IROC for Voluntary Participation
in the Continuing Education Program**

Current Courses	Satisfies	Administered By
Advanced Investment Strategies	Professional Development	CSI
Branch Managers Course	Either Professional Development or Compliance but not both	CSI
CE Compliance Program (or predecessor course the "CE Compliance Course including CPH for Professionals")	Compliance	CSI
Certified Investment Management Analysts Course	Professional Development	Investment Management Consultants Association
Financial Planning Examination Level 1	Professional Development	Financial Planning Standards Council
Financial Planning Examination Level 2	Professional Development	Financial Planning Standards Council
Financial Planning II	Professional Development	CSI
Chartered Financial Analyst Program (each level)	Professional Development	CFA Institute
Chief Compliance Officers Qualifying Examination	Either Professional Development or Compliance but not both	CSI
Derivatives Fundamentals Course	Professional Development	CSI
CE Ethics Course, Retail Version or CE Ethics Course, Institutional Version (or predecessor course "Ethics Module and Case Study")	Compliance	CSI
IQPF Professional Training Course (including the IQPF Exam)	Professional Development	Institut quebecois de planification financiere
Partners, Directors and Senior Officers Course	Either Professional Development or Compliance but not both	CSI
Portfolio Management Techniques	Professional Development	CSI
Wealth Management Essentials	Professional Development	CSI
Investment Management Techniques**	Professional Development	CSI
(0700) Fundamentals of Personal Finance	Professional Development	CSI
CIFP Securities Compliance Principles	Compliance	CIFP
Historical Courses		
Wealth Management Techniques (discontinued as of Dec 1, 2008)**	Professional Development	CSI
Personal Financial Planning Course**	Professional Development	Institute of Canadian Bankers
Investment Dealers Securities Compliance and Supervision Training Program**	Either Professional Development or Compliance but not both	Justice Institute Of British Columbia
Professional Financial Planning Course**	Professional Development	CSI

Note: The courses listed above may only be used once to qualify for Voluntary Participation in IROC's CE program.

Please refer to IDA Member Regulation Notice 323 for further details on Voluntary Participation.

** Course valid for CE cycles 1, 2, 3 and 4.