

History: Amended by [Bulletin # 3595](#).

Rule 2900

Linkage (Cross-References)

>Bulletins (1)

[Bulletin No. 3325](#) — By-Laws and Regulations — IDA Hearing Processes - Amendments to By-law 20, amendments to corollary By-laws and establishment of Rules of Practice and Procedure (September 2, 2004)

>Notices (4)

[Notice No. 14-0073](#) — Rules Notice – Guidance Note — Use of Business Titles and Financial Designations (March 24, 2014)

[Notice No. 09-0268](#) — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

[MR0396](#) — Proficiency Exemptions / OSC Rule 31-502 (April 26, 2006)

[MR0245](#) — Post licensing requirement for Non-Retail Salespersons (October 7, 2003)

Rule 2900, Part I

Linkage (Cross-References)

>Bulletins (6)

[Bulletin No. 3595](#) — By-Laws and Regulations — Amendment to Policy 6, Parts I and II (December 30, 2006)

[Bulletin No. 3527](#) — By-Laws and Regulations — Amendments to By-laws 4.6 and 4.9 and Policy 6, Part I Non-retail Branch Managers (April 10, 2006)

[Bulletin No. 3521](#) — By-Laws and Regulations — Amendments to Regulation 500 and Policy 6, Part I regarding Trader Registration and Proficiency Requirements (March 3, 2006)

[Bulletin No. 2999](#) — By-Laws and Regulations — By-law 7.1(5) and (6) Proficiency requirements for Industry and Non-Industry Shareholders (May 23, 2002)

[Bulletin No. 2869](#) — By-Laws and Regulations — Amendments to By-law 20.9A, 20.9B and 20.9C (July 19, 2001)

[Bulletin No. 2717](#) — Policies — Part I of Policy No. 6 Proficiency Requirements (May 11, 2000)

>Notices (2)

[Notice No. 09-0268](#) — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

[MR0021](#) — 30 Day Training Programme for Investment Representatives (April 17, 2000)

Policy No. 6, Part I, Section A.2A

Linkage (Cross-References)

>Bulletins (2)

Bulletin No. 3454 — By-Laws and Regulations — Amendments to Policy 6, Part 1, Section A.2A Late Completion Fee for CFO Qualifying Examination (August 19, 2005)

Bulletin No. 3193 — By-Laws and Regulations — By-laws 1 and 7; Policy 6, Parts I and II - Requirement to Appoint a Chief Financial Officer and Introduction of Chief Financial Officer Qualifying Examination (September 15, 2003)

>Notices (1)

MR0344 — CFO Qualifying Examination – Late Completion Fee (March 29, 2005)

Policy No. 6, Part I, Section A.2B

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3674 — By-laws and Regulations — By-laws 38; Policy 6, Parts I and II - Chief Compliance Officer Qualifying Examination (September 28, 2007)

Policy No. 6, Part I, Section A.3

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3557 — By-Laws and Regulations — Amendments to Policy 6, Parts I and II implementing the Wealth Management Essentials Course (June 26, 2006)

>Notices (1)

MR0359 — Revised Guidelines for 90-Day Training Program (July 13, 2005)

Policy No. 6, Part I, Section A.3(a)(ii)

Linkage (Cross-References)

>Notices (1)

MR0268 — Partners, Directors and Senior Officers Qualifying Examination Change (February 9, 2004)

Policy No. 6, Part I, Section A.3(a)(iii)

Linkage (Cross-References)

>Notices (1)

MR0057 — Permissible Activities for those taking the 30 and 90 Day Training Programs required under Policy 6, Part 1 (December 22, 2000)

Policy No. 6, Part I, Section A.3(c)

Linkage (Cross-References)

>Notices (2)

MR0404 — Post-licensing Requirement / Wealth Management Essentials Course (June 26, 2006)

MR0253 — IDA Post Licensing Requirement (November 25, 2003)

Policy No. 6, Part I, Section A.6

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3106 — By-Laws and Regulations — Amendment to Policy No. 6 Part I.A(6) Proficiency Requirements for Portfolio Managers and Futures Contracts Portfolio Managers (January 24, 2003)

Policy No. 6, Part I, Section A.6.2

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3688 — By-Laws and Regulations — Amendments to Policy 6, Part I: Proficiency Requirements for Futures Contract Portfolio Managers and Associate Futures Contracts Portfolio Manager (November 12, 2007)

History: Amended by [Bulletin # 3674](#).

History: Amended by [Bulletin # 3557](#).

History: Amended by [Bulletin # 3688](#).

Rule 2900, Part II

Linkage (Cross-References)

>Bulletins (3)

Bulletin No. 3595 — By-Laws and Regulations — Amendment to Policy 6, Parts I and II (December 30, 2006)

Bulletin No. 2869 — By-Laws and Regulations — Amendments to By-law 20.9A, 20.9B and 20.9C (July 19, 2001)

Bulletin No. 2664 — By-Laws and Regulations — Policy No. 6 - Part II Course and Examination Exemptions (November 23, 1999)

>Notices (4)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA's Registration Reform Project (September 16, 2009)

MR0323 — IDA Continuing Education and Voluntary Participation (December 14, 2004)

MR0067 — Transfers from Mutual Fund Dealers to IDA Members Examination Re-write Requirements (April 2, 2001)

MR0046 — Changes to Registration Procedures (October 23, 2000)

Rule 2900, Section A.3A

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3193 — By-Laws and Regulations — By-laws 1 and 7; Policy 6, Parts I and II - Requirement to Appoint a Chief Financial Officer and Introduction of Chief Financial Officer Qualifying Examination (September 15, 2003)

Rule 2900, Section A.10

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3557 — By-Laws and Regulations — Amendments to Policy 6, Parts I and II implementing the Wealth Management Essentials Course (June 26, 2006)

Rule 2900, Part II, Section A.11

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3557 — By-Laws and Regulations — Amendments to Policy 6, Parts I and II implementing the Wealth Management Essentials Course (June 26, 2006)

Rule 2900, Part II, Section B.10

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3557 — By-Laws and Regulations — Amendments to Policy 6, Parts I and II implementing the Wealth Management Essentials Course (June 26, 2006)

Rule 2900, Part II, Section B.10(b)

Linkage (Cross-References)

>Notices (1)

MR0253 — IDA Post Licensing Requirement (November 25, 2003)

Rule 2900, Part II, Section B.11

Linkage (Cross-References)

>Bulletins (1)

Bulletin No. 3557 — By-Laws and Regulations — Amendments to Policy 6, Parts I and II implementing the Wealth Management Essentials Course (June 26, 2006)

History: Amended by Bulletin # 3683.

Rule 2900, Part III

Linkage (Cross-References)

>Bulletins (6)

Bulletin No. 3683 — By-laws & Regulations — Amendments to Policy 6, Part III – Continuing Education (October 17, 2007)

Bulletin No. 3253 — By-Laws and Regulations — Revisions to Policy 6, Part III: The Continuing Education Program (February 10, 2004)

Bulletin No. 2663 — By-Laws and Regulations — Policy No. 6 - Part III the Continuing Education Program and Parameters and Guidelines for the Securities Industry Continuing Education Program (November 25, 1999)

Bulletin No. 2621 — By-Laws and Regulations — Continuing Education Implementation Date (September 3, 1999)

Bulletin No. 2602 — By-Laws and Regulations — Delay In Implementation Of Continuing Education (July 26, 1999)

Bulletin No. 2581 — By-Laws and Regulations — Policy No. 6 - Part III The Continuing Education Program Parameters and Guidelines for the Securities Industry Continuing Education Program (May 7, 1999)

>Notices (4)

[Notice No. 17-0223 – Rules Notice – Notice of Approval/ Implementation – Implementation of Rule 2650 – Continuing Education Requirements for Approved Persons \(November 30, 2017\)](#)

Notice No. 09-0268 — Rules Notice – Notice of Approval / Implementation — IIROC Dealer Member Rule Amendments to Implement the CSA’s Registration Reform Project (September 16, 2009)

MR0332 — Continuing Education – New online reporting system (January 20, 2005)

MR0309 — Continuing Education Program – Course Accreditation (September 22, 2004)

MR0067 — Transfers from Mutual Fund Dealers to IDA Members Examination Re-write Requirements (April 2, 2001)

Rule 2900, Part III, Section F

Linkage (Cross-References)

>Notices (1)

MR0323 — IDA Continuing Education and Voluntary Participation (December 14, 2004)

Rule 2900, Part III, Section F.1

Linkage (Cross-References)

>Notices (1)

MR0376 — Courses recognized by the Association for Voluntary Participation in the Continuing Education Program (November 10, 2005)