

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