



Appendix E – Rule 2655(3) – Ethics CE Course

IIROC will publish a list of approved ethics courses which can be repeated and counted towards the fulfillment of the compliance course requirement in two continuing education cycles.

The following are the guidelines for ethics courses approved by IIROC under Rule 2655(3):

1. Courses are approved on application to IIROC.
2. The course should have first received approval through CECAP for consideration.
3. The course content should relate principally to ethics, ethical conduct, professionalism, and professional responsibility.
4. The course should be relevant to investment dealer business.
5. Approved courses should be updated and refreshed each CE cycle.