



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.



Applicable Rules

Rules this Guidance Note relates to:

- Rules 2651 to 2699.

Previous Guidance Notes

This Guidance Note replaces the following previous guidance notes and bulletins:

- MR0348 — Registration for the purpose of maintaining course validity (4/20/2005)
- Bulletin 2569 – New Requirements - Continuing Education (March 4, 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)
- Bulletin No. 2602 — By-Laws and Regulations — Delay In Implementation Of Continuing Education (July 26, 1999)
- Bulletin No. 2621 — By-Laws and Regulations — Continuing Education Implementation Date (September 3, 1999)
- 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)
- MR0133 — Continuing Education – Member Update (3/22/2002)
- Bulletin No. 3253 — By-Laws and Regulations — Revisions to Policy 6, Part III The Continuing Education Program (February 10, 2004)
- MR0309 — Continuing Education Program – Course Accreditation (9/22/2004)
- MR0323 — IDA Continuing Education and Voluntary Participation (December 14, 2004)
- MR0332 — Continuing Education – New online reporting system (1/20/2005)
- MR0376 — Courses recognized by the Association for Voluntary Participation in the Continuing Education Program (November 10, 2005)
- Bulletin No. 3683 — By-Laws and Regulations — Amendments to Policy 6, Part III – Continuing Education (October 17, 2007)
- MR0536 — Continuing Education - IDA Continuing Education Requirements (May 1, 2008)
- Rules Notice 15-002 Voluntary Participation in Continuing Education Update (January 6, 2015)