

Appendix E – IIROC’s Proposed Enhanced Competency Profiles

Between 2020 and 2022, IIROC has published in three parts, enhanced competency profiles for its Approved Persons categories for public consultation. IIROC will be reviewing all public comments and make any appropriate adjustments as appropriate, well in advance of the expiry of the CSI contract.

- **Phase I:** [Consultation Papers- Competency Profiles for Registered Representatives and Investment Representatives, Retail and Institutional | IIROC](#)
- **Phase II:** [Consultation Paper \(Phase II\) – Competency Profiles for Directors, Executives, Ultimate Designated Persons, Chief Compliance Officers, and Chief Financial Officers | IIROC](#)
- **Phase III:** [Consultation Paper \(Phase III\) – Competency Profiles for Supervisors, Traders, Associate Portfolio Managers and Portfolio Managers](#)