

Appendix A

IIROC Enrolments in CSI Regulatory Courses

2013

Course	IIROC Member Enrolments
Canadian Securities Course (CSC)*	1,370
Conduct and Practices Handbook Course (CPH)	1,564
Wealth Management Essentials Course (WME)	1,039
Derivatives Fundamentals Course (DFC)	115
Derivatives Fundamental and Options Licensing Course (DFOL)	490
Options Licensing Course (OLC)	100
Futures Licensing Course (FLC)	73
Partners, Directors and Officers Course (PDO)	197
Branch Managers Course (BMC)	248
Options Supervisors Course (OPSC)	103
Canadian Commodity Supervisors Course (CCSE)	18
Effective Management Seminar (EMS)	138
New Entrants Exam Course (NEC)	58
Trader Training Course (TTC)	119
Chief Compliance Officers Course (CCO)	96
Chief Financial Officers Qualifying Examination Course (CFO)	36
Investment Management Techniques (IMT)	447
Portfolio Management Techniques (PMT)	657
Advanced Investment Strategies (AIS)	321
Total	7,189

*Total enrolments in the CSC (IIROC and non-IIROC) = 10,476

IIROC Notice 14-0181 – Administrative Notice – Request for Comments – Proficiency Assurance: The Next Phase – Consultation Relating to Expiry of CSI Contract