



Schedule 3

CSI Historical Total and IIROC Enrolments

	2006		2007		2008		2009		2010		2011		2012		2013	
	Total	IIROC	Total	IIROC	Total	IIROC	Total	IIROC	Total	IIROC	Total	IIROC	Total	IIROC	Total	IIROC
Canadian Securities Course (CSC)	14,755	2,809	14,532	2,765	13,751	2,067	11,488	1,684	11,904	1,561	11,663	1,749	10,194	1,366	10,476	1,370
Conduct and Practices Handbook (CPH)	3,728	2,026	3,823	2,032	3,281	1,547	2,751	1,534	3,000	1,548	2,989	1,658	2,705	1,535	2,764	1,564
Wealth Management Essentials (WME)	484	444	1,182	1,114	1,569	1,158	1,391	1,096	1,459	1,132	1,447	1,115	1,493	1,090	1,532	1,039
Derivatives Fundamentals Course (DFC)	1,300	779	1,374	787	1,359	663	1,237	743	1,244	802	554	287	288	132	256	115
Derivatives Fundamentals and Options Licensing Course (DFOL)											748	566	684	531	666	490
Options Licensing Course (OLC)	850	613	956	712	953	577	951	702	943	715	326	240	193	138	132	100
Futures Licensing Course (FLC)	316	160	355	142	289	133	280	123	264	134	318	165	251	140	178	73
Partners, Directors and Senior Officers Course (PDO)	1,083	867	1,087	807	1,056	705	768	454	838	262	649	288	546	272	394	197
Branch Managers Course (BMC)	498	366	423	285	432	300	365	244	319	228	407	311	343	261	350	248
Options Supervisors Course (OPSC)	306	173	233	206	249	210	204	174	141	121	131	123	145	131	119	103
Canadian Commodity Supervisors Exam (CCSE)	26	20	31	19	31	23	24	16	37	26	23	15	39	30	27	18
Effective Management Seminar (EMS)	209	209	245	245	191	191	185	166	145	136	138	125	165	149	164	138
New Entrants Exam Course (NEC)	88	55	71	43	101	48	105	55	555	144	220	75	118	51	118	58
Trader Training Course (TTC)	408	299	452	185	356	132	316	223	251	162	263	167	190	113	186	119
Chief Compliance Officers Qualifying Exam (CCO)			231	153	274	169	214	108	232	97	281	131	286	100	304	96
Chief Financial Officers Qualifying Exam (CFO)	97	54	90	49	87	31	69	39	79	45	71	40	49	29	66	36
Investment Management Techniques (IMT)	1,005	574	788	355	624	285	740	309	817	345	916	421	719	373	859	447
Portfolio Management Techniques (PMT)	642	386	765	461	842	483	728	415	922	541	901	529	810	509	1,043	657
Advanced Investment Strategies (AIS)	0	0	0	0	0	0	0	0	83	50	375	269	460	335	452	321

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