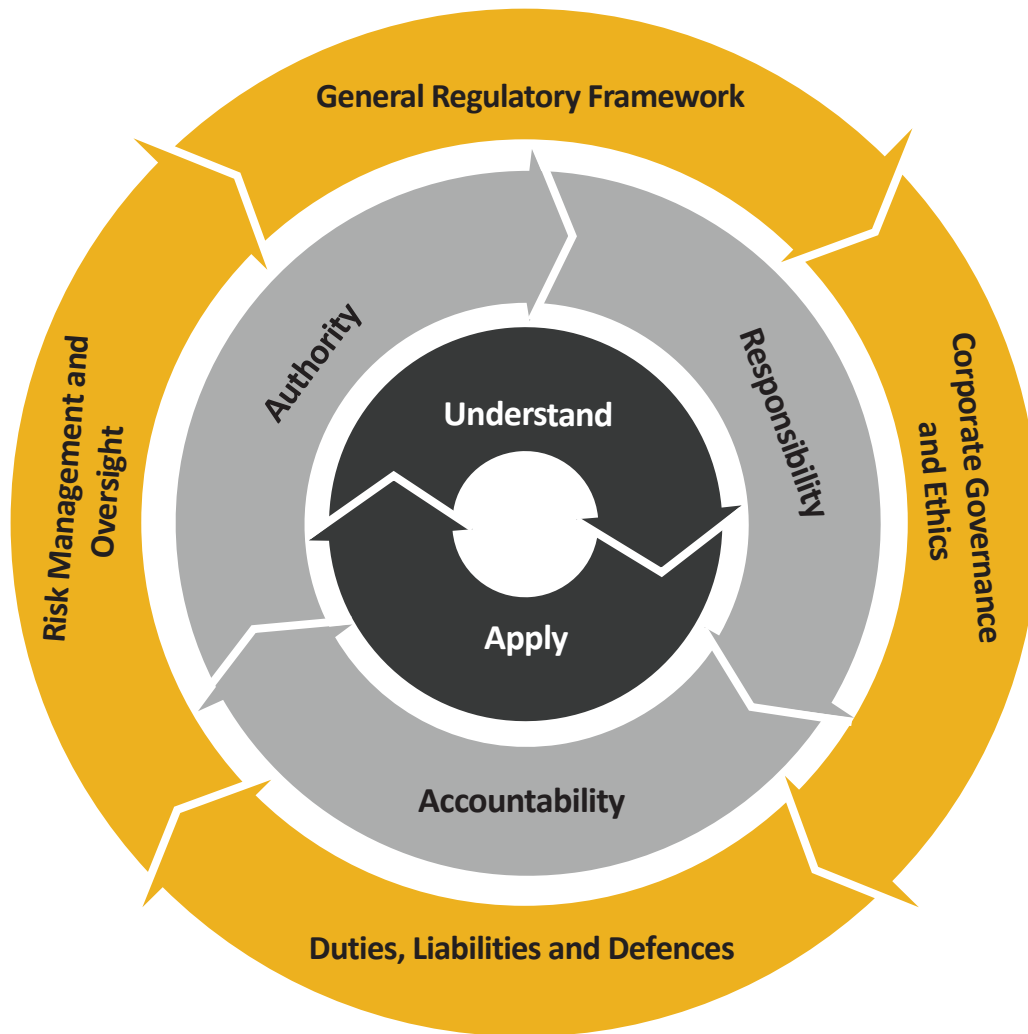


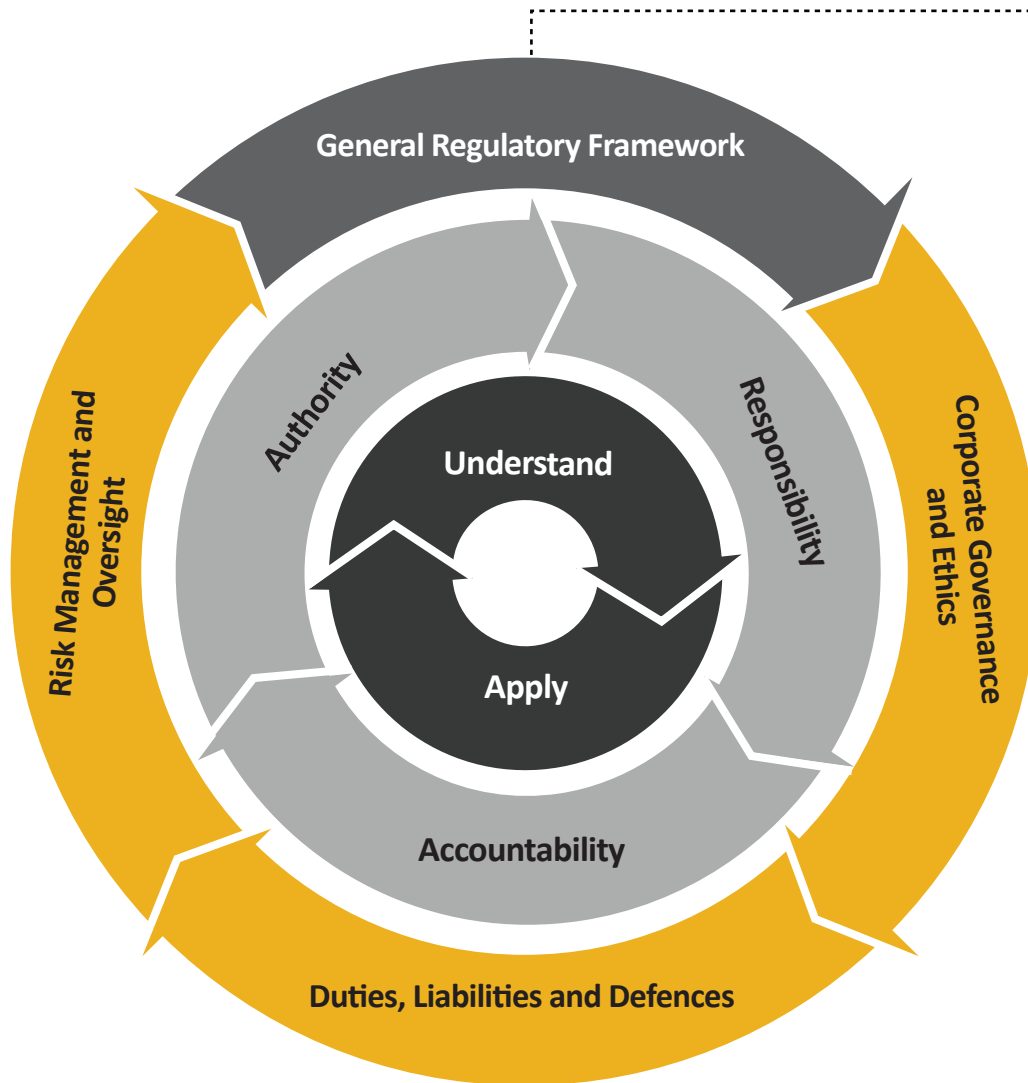
## EXECUTIVE COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Executive from a regulatory perspective. It captures the general knowledge they need to understand and the behaviours and skills they need to apply to support their leadership position within the dealer through their responsibility, accountability and authority. The required knowledge is dictated by the responsibilities and accountabilities of the role, which are both defined by and informed by the authority of the Executive. Please refer to [Appendix 6](#) to review the reference document for the Executive competency profile.



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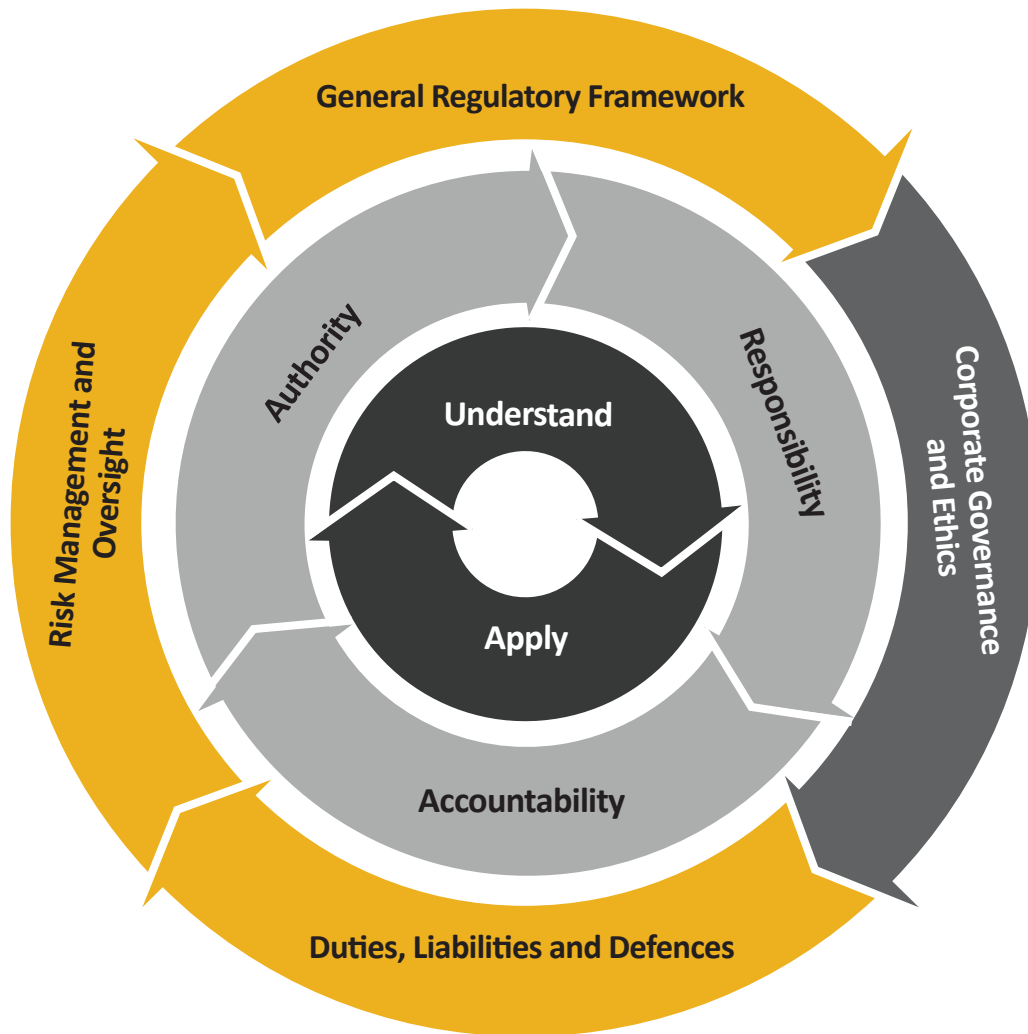
### 1. General Regulatory Framework

Understand and apply the following as applicable

- I. Role of securities regulators, SROs and applicable laws
- II. Role of other financial regulators and laws
- III. Dealer Member business models and related areas
- IV. Offering and distribution of securities

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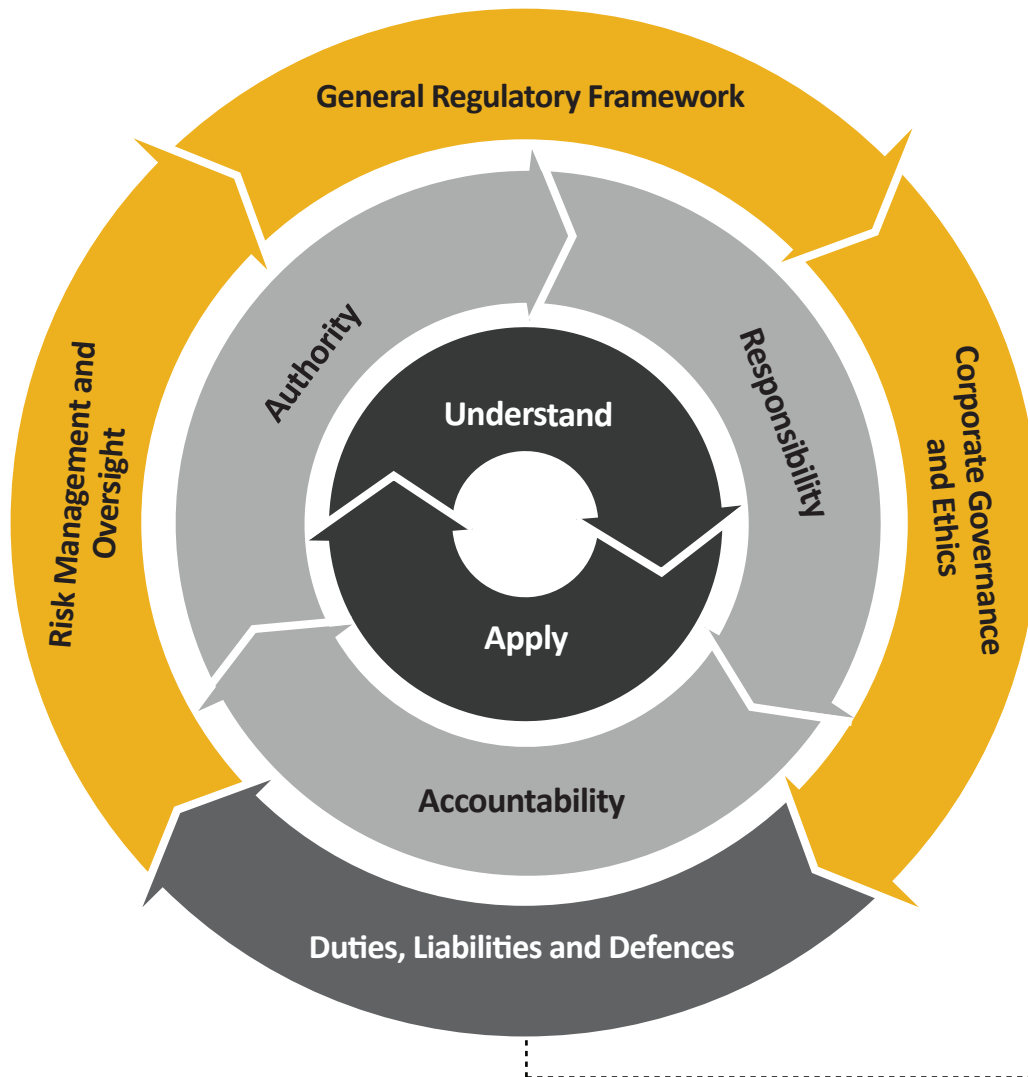
### 2. Corporate Governance and Ethics

Understand and apply the following as applicable:

- I. Corporate governance
- II. Ethics

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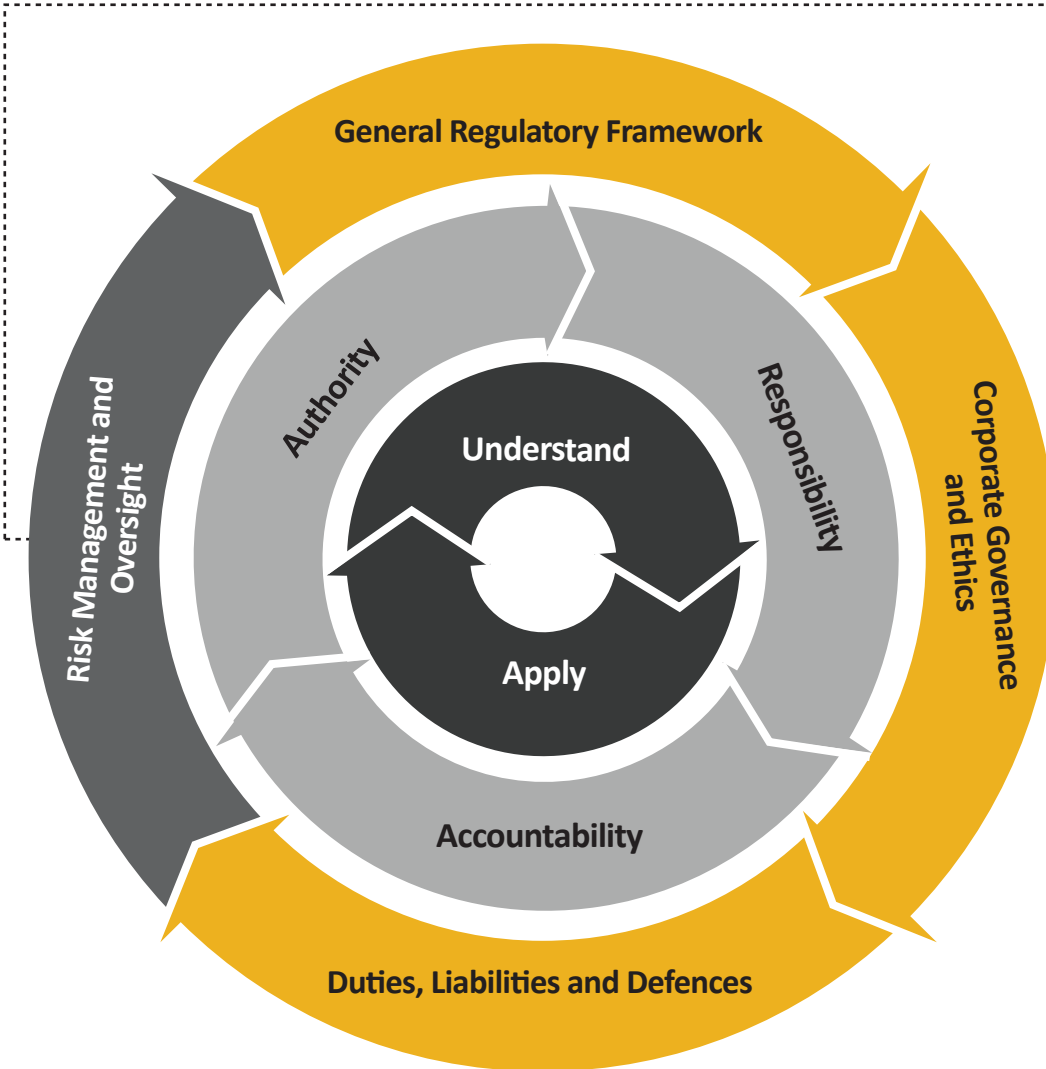
### 3. Duties, Liabilities and Defences

Understand and apply the following as applicable:

- I. Duties
- II. Liabilities
- III. Defences

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### 4. Risk Management and Oversight

Understand and apply the following as applicable:

- I. Risk management
- II. Significant areas of risk