



IROC/CECAP/COMPLIANCE  
IROC/CECAP/PD\* 1  
CSI/CIM/COMPLIANCE  
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<b>Retail Banking</b>																		
Anti Money Laundering & Terrorist Financing for Banking Professionals	2	2	2	2	2 <sup>1</sup>	2 <sup>1</sup>	2	2		2							2	
Bank Management Fundamentals course (BMF)									9								9	
Business Development Planning - Bank Management (BDPM)									15			8					5	
Client Debt Assessment and Management		0.5		0.5					1	1	1	8					1	
Communicating to Succeed Business Communications		10		10			10		10	10	10	5					10	10
Communicating to Succeed Business Writing		10		10			10		10	10	10	5					10	10
Communicating to Succeed Interpersonal Communications		10		10			10		10	10	10	5					10	10
Culture of Compliance: Working in Financial Services				1			1	1		1		1					1	
Economics										45							45	
Ethical Practice in the Financial Services Industry	10	10	10	10	10		10	3	10	10	10						10	10
Introduction to Social Media for Financial Professionals		0.75		1	1		1		1	1	1	1					1	1
People and Team Management (PTM)									15									
Personal Financial Services Advice				30			30				30						30	30
Preparing for Retirement (PFR)		3		3	3		3		3	3	3	3					3	3
Safeguard Elderly Clients from Financial Fraud		1		1						1	1	8					1	1
Understanding the Needs of New Immigrant Clients		1		1	2		2		2	2	2	8					2	2
Working with Aging Clients: Best Practices and Compliance Guidance (CEWWAC) <sup>9</sup>	3	3	3			3	3	3		3	3		1	2	3		3	3
<b>Financial Planning and Insurance</b>																		
Accounting										45							45	
Applied Financial Planning Certification Examination (AFP)		30		30			30			30	30	10					30	15
Behavioural Finance - Get Inside Your Client's Mind <sup>7</sup>		9		9	9		9		9	9	9		9				9	9
Benefits at Retirement (BAR)		3		3	3		3		3	3	3	3					3	
Business Succession for Small Business Clients		3		3	3		3		3		3							
Business Taxation Issues and Planning		15		15	15		15		15	15	12	6					15	12
Canadian Insurance Course (CIC)		30		30	15		30		30	30	30						30	30
CSI Capstone Course for CFP® Certification		30		30			30			30	30						30	15
Developing a Social Media Plan for Financial Professionals		1		1	2				2	2	2	8					2	2
Estate Planning		3		3					3	3	3						3	3
Financial Management at Your Client's Retirement (FMCR)		3		3	3		3		3	3	3	3					3	3
Financial Planning for Businesses - Quebec										45							45	
Financial Planning for Snowbirds <sup>7</sup>		5		5	5		5		5	5	4	5	5				5	4
Financial Planning I (FP I)				30			30			30	30						30	30
Financial Planning II (FP II) <sup>5</sup>		30		30			30			30	30	30					30	30
Financial Planning Supplement (FPSU)		30		30			9			30	30						30	30
Fundamentals of Financial Planning (FOFP)		30		30			9			30	30						30	30
Fundamentals of Personal Finance										45	30						45	
Guidelines for Financial Professionals Using Social Media		0.75		1	1		1		1	1	1	1					1	1
Individual Pension Plans <sup>7</sup>		3		3	3		3		3	3	3		3				3	3
Insurance and Retirement - Quebec										45							45	
Investment and Tax Planning - Quebec										45							45	
Investment and Taxation Fundamentals - Quebec										45							45	
Legal and Ethical Aspects of Financial Planning		30		30						45							45	
Liability for Tax, Attribution Rules & Income Splitting Techniques		10		10	10				10	10	8	6					10	8
LLQP																		
Accident & Sickness		30		12	12		12		12	30	30		20				30	30



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Ethics and Professional Practice (Quebec)	30		12	12	3	12	3	12	30			20							
Ethics and Professional Practice (Common Law) - Enrollments as of Feb 1, 2017	20		20	15	3	12	3	15	20	20				20	20	20	20	20	20
Ethics and Professional Practice (ROC) - Enrollments <b>Prior</b> to Feb 1, 2017	20		12	12	3	12	3	12	20	20		20		20	20	20	20	20	20
Life Insurance	30		12	12		12		12	30	30		20		30	30	30			30
Segregated Funds	30		12	12		12		12	30	30		20		30	30	30			30
Making Your Message Stick with Today's Client 7	6		6	6				6	6	6	6	6	6	6	6	6	6	6	6
Planned Charitable Giving	3		3	3						3					3	3	3	3	3
Planning Strategies for Seniors: The Home Income Plan Advantage	2		2	2				2	2	1.5	2			2	1	1			1.5
Risk Management and Estate Planning - Quebec									45					45					
Segregated Funds	3		3	3		3		3	3	2.75				3	2.75	2.75	5		2.75
<b>Investment Management and Trading</b>																			
90-Day MF Skills Builder							3	9											
Building a Mutual Funds Advisory Practice (BMAP)								20	30	5				30		5	5	5	5
Canadian Securities Course (CSC)									Ex 1: 30 Ex 2: 30	30				Ex 1: 30 Ex 2: 30	30	30	Ex 1: 10 Ex 2: 10	30	30
Commodities as Investment 7	30		30	15		30		30				40		40					
Conduct and Practices Handbook (CPH)				15	3	30	3	30	30					30					
Covered Call Writing	3		3	3				3	3					3					
CSC Refresh	3		3			5		5	5					5					
Derivatives Fundamentals and Options Licencing Course (DFOL)	30		30	15		30		30	30					30					
Derivatives Fundamentals Course (DFC) 5	30		30	15		30		30	30					30					
Due Diligence for Hedge Funds Seminar	12	12	12	12	9	3	12		12	12				12					
Enhanced Suitability for IIROC Advisors 9	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>		3	3	3				3					
Equity Trading and Sales 7	3	9	3	9	9	3		3	9	9		9	2	9	9				
ETFs: Evolution and Emerging Trends	3		3	3		3		3	3	3		3		3	3	3	3	3	3
Financial Markets - Risk Management Course (FRM) 7	30		30	15		30		30	30			40		40	30	15			15
Financial Modelling Course (FMC)	1	12	1	12	12	1		1	12			12	1						
Fixed Income Trading and Sales 7	3	9	3	9	6	3	3		3	9		9	2	9	9				
Futures Licencing Course (FLC)	30		30	15		30		30	30					30					
Guidelines for IIROC Advisors Using Social Media 9	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3	3	3	3				3					
Hedge Fund Essentials for Today's Financial Professionals 7	9		9	9		9		9	9	9		9		9	9	9			9
Hedge Funds Seminar	10		10	10		10		10	10	7.5				10	7.5	7.5			7.5
How Mutual Funds and Hedge Funds Use Derivatives	6		6	6		6		6	6	3				6	3				3
Investment Funds in Canada (IFC)									30	30				30	30	30	10		30
Investment Management Techniques (IMT) 5	30					30		30	Ex 1: 30 Ex 2: 30	30				Ex 1: 30 Ex 2: 30	30	30			30
Investment Strategies for Retirees	3		3	3				3	3	3				3	3	3			3
Know Your Product	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>		3	3	3				3	3				3
Knowing the Investor	5	5	5	5	5 <sup>1</sup>	5 <sup>1</sup>	5	3	5	5				5					
Options Licencing Course (OLC)	30		30	15		30		30	30					30					
Options Strategies Course (OSTC) 7	30		30	15		30		30	30			40		40	30				
Overview of Institutional Markets (OIM)	3		3									3		3					
Portfolio Management Techniques (PMT) 5	30					30		30	45	22.5				30	22.5	22.5	3		22.5
Portfolio Theory, Asset Allocation & Performance Measurement	3		3	3		3		3	3	3				3	3				3
Principal-Protected Notes 7	6		6	6		6		6	6	3		6		6	6	3			3
Responsible Investment: Trends and Opportunities	3		3	3		3		3	3	3		3		3	3				



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Socially Responsible Investing		3		3	3		3		3	3					3				
Technical Analysis Course (TAC) 7		30		30	15		30		30	30			40		40	30			
The Crude Oil Market – Industry Overview and Investment Options		3		3	3		3		3	3			3		3	3			
The Gold Market - An Industry Overview and Investment Options		3		3	3		3		3	3			3		3	3			
The Natural Gas Market		3		3	3		3		3	3			3		3	3			
Trader Training Course 7		30		30					30				40	2	40	30			
Understanding High Frequency Trading 7		3		3	3				3	3			3		3	3			
Understanding Private Equity 7		3		3	3		3		3	3	3		3		3	3	3	3	3
Understanding TFSAs		3		3	3		3		3	3	3				3	3	3	3	3
<b>Wealth Management and Private Banking</b>																			
A Guide to International Investing 7		3		3	3								3		3				
Advanced Estate Planning and Trust Strategies (AETS) 7		30		30			30		30	45	30		40		40	30			
Advanced Investment Strategies (AIS) 5		30		30			15		15	45	5				25	5	5	5	5
Advanced Retirement and Estate Planning Strategies (ARES)		30		30					30	30	30		20		30		30	30	30
Advanced Retirement Management Strategies (ARMS) 7		30		30			30		30	45	20		40		40	30	20	20	20
Case Application Examination										45						45			
Estate and Trust Administration										45	45					45			
Estate and Trust Asset Management					15					25	25					25			
Ethics and the Client Experience - Estates and Trust					15					25	25					25			
Executive Compensation (EXCO)		3		3	3		3		3	3	3		3		3	3	3	3	3
Identifying a Private Client's Corporate Banking Needs (ICCB)		3		3	3		3		3	3			3		3				
International Taxation for Canadians (ITC) 9		9		9	9		9		9	9	9		9		9	9	9	9	9
Laws of Estates and Trusts					15					25	25					25			
Strategic Wealth 360 7		30		30			30		30	30	30		40		40	30	30	30	5
Taxation Considerations for Estates and Trusts		20		20	15				15	30	30		20		20	20	30	30	5
Wealth Management Essentials (WME) 5		30 <sup>4</sup>		30			30		30	45	30	24				Ex 1: 30 Ex 2: 30	30	30	10
<b>Business Banking</b>																			
Building Relationships with Small Business Clients (BRBS)		30		30	15				15	30	30					30	30	15	15
Delivering Small Business Solutions (DSBS)									30	30			8		30				
Moody's Analytics Analyzing Commercial Real Estate (ACRE)					15								8						
Moody's Analytics Commercial Lending (CLCA)					15								8						
Moody's Analytics Managing Client Relationships (MCR)					10								8						
Personal Lending and Mortgages (PLM)									15	30						30			
Problem Loans Course (PLC)									9				4	11					
Profitability and Credit Risk (PCR)									9				4	7.5					
Small Business Lending (SBLC)					10		15		15							25			
Small Business Operations and Financial Analysis (SBOF)										30			8			30			
Understanding the Small Business Environment (USBE)					15		30		30	30			8			30			
<b>Management, Supervision and Compliance</b>																			
Anti Money Laundering & Terrorist Financing for Securities Professionals		3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3	3		3					3			
Applied Investment Dealer Compliance 7		9		9		6	3		3					2					
Branch Compliance Officer's Course (BCO)				12		12	3	12	3	9	30	13			30		13		13
Branch Manager's Course (BMC) 5		12	30	12	30	15	3	12	3	30	30				30				
Bringing New Issues to Market (BNIM) 9		3		3		3	3	3	3		3		1	2	3	3			
Canadian Commodity Supervisors Exam (CCSE)		12	30	12	30	15	3	30	3	30	30					30			
Canadian OTC Derivatives Market Reform (CDMR) 9		3		3		3	3	3	3		3		1	2	3	3			



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CE Compliance Program Cycle 6	12		12		9	3	12	12		12						12				
CE Ethics Course, Retail Version 5	12		12		9	3	12	3		12	10					12	10	10	10	10
Chief Compliance Officers Qualifying Examination (CCO) 5	12	30	12	30	15	3	30	3	30	30						30			5	
Chief Financial Officers Qualifying Examination (CFO)	12	30	12	30	15	3	30	3	30											
Conflicts of Interest (COI) 9	3	3	3			3	3	3		3			3	3	3					
Consequences of Non-Compliance in the Securities Industry - 2013	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3	3	3	3						3				
Corporate Governance	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3	3	3	3	3					3	3			3
CPH for Industry Professionals	3		3		3 <sup>1</sup>	3 <sup>1</sup>		3												
Effective Management Seminars	12	20	12	20	15	3		3	20	20	13	13				20	13	5	5	13
Enhancing Client Relationships -CRM Phase 2 9	3		3			3		3		3			1	2	3	3				
ETF for Mutual Fund Representatives 9 - Enrollments <b>Prior</b> to December 14, 2016				5	5		5		5	5	5					5	5	5	5	5
ETF for Mutual Fund Representatives 9 - Enrollments as of December 14, 2016		6		10	10		10		10	10	10		10		10	10	10	10	10	10
FICB Integrative Project										45						45				
Financial Services Industry: Business Drivers and Challenges (FSDC) 7		20		20	15		20		20	20	10	5	20		20	20	10	5	5	5
Fraud - Protect Yourself and Your Firm - 2010	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3	3		3	3					3	3	3		3
Fraud in the Securities Industry	12	12	12	12	9	3	12	12	12	12	6					12	6			6
Insider Trading: Regulations and Prevention	3		3		3 <sup>1</sup>	3 <sup>1</sup>	3	3		3						3				
Investment Dealer Compliance Course (IDCC)	12		12										10	2						
Investor Confidence - 2010	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>	3		3	3	3					3	3			3
Leveraging CRM to Enhance Client Relationships - Seminar	12		12			3		3		12			10	2		12				
Options Supervisors Course (OPSC) 7	12	30	12	30	15	3	30	3	30	30			40	2	40	30				
Overview and Trends - Trade Desk Risk Management and Compliance	12		12																	
Partners, Directors and Senior Officers Course (PDO) 5	12	30	12	30	15	3	30	3	30	30						30				
Risk Management in the Securities Industry - 2010	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>		3	3	3						3				
Role of the Gatekeeper	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>		3	3	3						3				
Safeguarding Market Integrity: Challenges and Solutions (SMIC)	9		9			9		3		9						9				
Understanding Investment Dealer Business Units 7	3	6	3	6	6	3	6	3	6				3		3					

\*PD = Professional Development  
 \*\* SER = Standards, Ethics and Regulation  
<sup>1</sup> Credits may not be used to satisfy both Compliance and Professional Development (PD) requirements at the same time. A course can only be applied for IIROC continuing education purposes once and only in one cycle with the exception of 'CPH for Industry Professionals'.  
<sup>2</sup> CSI believes these courses meet the CE guidelines of these organizations. We advise that participants or their firms determine whether completion of the seminar, program or course qualifies for CE credits and what type of CE credits (technical/general or compliance/professional development) the seminar, program or course qualifies for. Note: Courses that lead to initial accreditation generally cannot be used for continuing education purposes for the achieved license or designation.  
<sup>3</sup> We've submitted this course to the regulator for approval and are currently waiting for notification of course acceptance and confirmation of CE credits.  
<sup>4</sup> Registered Representatives who take the WME to satisfy the 30 -month post licensing requirement of IIROC may not use the same course to fulfill PD requirements of CE.



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<sup>5</sup> These courses qualify for Voluntary Participation which extends the validity periods of the CSC and the CPH.

<sup>6</sup> This course is not eligible for CE credits for FPSC.

<sup>7</sup> The CFA Institute requires that CSI send a completion record directly to the Institute for individuals seeking CE credits for the CFA designation. If you wish to receive CFA CE credits (this does not apply to the CIPM designation), please complete the CFA – Confirmation of CE Activities form available at [www.csi.ca](http://www.csi.ca) and send an e-mail, with the completed form, to [designationmanagers@csi.ca](mailto:designationmanagers@csi.ca) requesting that you be included on the listing CSI provides to the CFA Institute for continuing education credit. Your e-mail must include the completed CFA – Confirmation of CE Activities form including your CFA number, a copy of the Notice of Course Completion that was provided by CSI for the course completed and your signature on the Release Statement which grants specific permission to allow CSI to send this information to the CFA Institute

<sup>8</sup> CAAMP participants are to self-report their third party CEU by logging on to [www.mortgagecampus.org](http://www.mortgagecampus.org)

<sup>9</sup> This CE activity has been approved by FPSC® as meeting the minimum requirements for CE approval as outlined within the FPSC Continuing Education Guidelines. The views and opinions expressed in this presentation are those of the presenter/content author and do not necessarily reflect the views of Financial Planning Standards Council (FPSC).

Notice: While CSI makes every effort to ensure that the information on this chart is correct and up-to-date, course accreditation may be subject to change at any time due to content updating and/or accrediting organization assessment requirements.