

IROC/CECAP/COMPLIANCE

IROC/CECAP/PD\* 1

CSI/CIM/COMPLIANCE

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CSI/MTI

CSI/PP/COMPLIANCE

CSI/PP/PD\*

ADYOCIS 2

AIC/LIFE INSURANCE

AMP 2,5

CFA/PD\* 2

CFA/SER\*\* 2

CFA/CIPM 2

FP Canada 2

FSRA/LIFE INSURANCE 2

ICBC/LIFE INSURANCE 2

ICM/LIFE INSURANCE 2

ICS/LIFE INSURANCE 2

<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
Communicating to Succeed Business Communications		10		10			10	10	10	10	10	5			10	10			
Communicating to Succeed Business Writing		10		10			10	10	10	10	10	5			10	10			
Communicating to Succeed Interpersonal Communications		10		10			10	10	10	10	10	5			10	10			
Economics										45									45
Ethical Practice in the Financial Services Industry	10	10	10	10	10		10	3	10	10	10				10	10	10		3
People and Team Management (PTM)										15									
Personal Financial Services Advice				40			30				30						30	30	5
Safeguard Elderly Clients from Financial Fraud		1		1					1		1	8			1	1	1	1	1
Understanding the Needs of New Immigrant Clients		1		1	2		2		2	2	2	8			2	2	2	2	2
<b>Financial Planning and Insurance</b>																			
Accounting										45									45
Applied Financial Planning Certification Examination (AFP)		20		40			30		30	30	30	10			30	15	15	15	10
Behavioural Finance - Get Inside Your Client's Mind <sup>2</sup>		9		9	9		9	9	9	9	9	9	9	9	9	9	9	9	9
Business Taxation Issues and Planning		15		15	15		15	15	15	15	12	6			15	12	12		12
Estate Planning		3		3					3	3	3				3	3	3		3
Financial Planning for Businesses - Quebec										45									45
Financial Planning for Snowbirds <sup>2</sup>		5		5	5		5	5	5	5	4	5	5	5	5	4	4		4
Financial Planning I (FP I)				40			30		30	30	30				30	30	10	10	10
Financial Planning II (FP II)		20		40			30		30	30	30	30			30	30	10	10	10
Hedge Funds and Liquid Alternatives for Mutual Fund Representatives (HFLA)		6		6	6		6	6	6		3		3	3	6	3	3	3	3
Retirement Accumulation Structures and Strategies (RASSCE)		7		7	7		7	7	7	7	7	7	7	7	7	7	7	7	7
Generating Retirement Income (GRICE)		4		4	4		4	4	4	4	4	4	4	4	4	4	4	4	4
Insurance for Investment and Tax Minimization Purposes (IITMPCE)		3		3	3		3	3	3	3	3	3	3	3	3	3	3	3	3
Transitioning into Retirement (TIRCE)		4		4	4		4	4	4	4	4	4	4	4	4	4	4	4	4
Financial Planning Supplement (FPSU)		20		40			9		30	30	30								30
Fundamentals of Financial Planning (FOFP)		20		40			9		30	30	30								30
Fundamentals of Personal Finance										45									
Individual Pension Plans <sup>2</sup>		3		3	3		3	3	3	3	3		3	5	3	3	3		3
Insurance and Retirement - Quebec										45									45
Investment and Tax Planning - Quebec										45									45
Investment and Taxation Fundamentals - Quebec										45									45
Law, Estate and Tax Supplement		20		20			12	20	20	20	30								30
Legal and Ethical Aspects of Financial Planning		20		40						45									45
Lending, Retirement and Insurance Supplement		20		20	20		12	20	20	20	30								30
<b>LLQP</b>																			
Accident & Sickness		20		12	12		12		12	30	30		20		30	30	30		30
Ethics and Professional Practice (Quebec Civil Code)		20		12	12	3	12	3	12	30		20							
Ethics and Professional Practice (Common Law)		20		12	12	3	12	3	12	20	20		20		20	20	20	20	20
Life Insurance		20		12	12		12		12	30	30		20		30	30	30		30
Segregated Funds		20		12	10		12		12	30	30		20		30	30	30		30
Making Your Message Stick with Today's Client <sup>2</sup>		6		6	6		6	6	6	6	6	6	6	6	6	6	6	6	5
Responsible Investing Using ESG Factors (RIUF)		3		3	3		3	3	3	3	3		3	3	3	3	3	3	3
Risk Management and Estate Planning - Quebec										45									45
Social Media Compliance Guidelines	2.5		2.5			2.5	2.5	2.5		2.5	1		2		2.5	1	1	1	1
Tax Free Savings Account- Rules & Options		3		3	3		3	3	3	3	3		3	3	3	3	3	3	3
<b>Investment Management and Trading</b>																			
90-Day MF Skills Builder							3	9	9										
Alternative Assets and Private Equity (AAPE)		3		3				3	3			3			3				
Advanced Derivatives Market Strategies (ADMS)		20		40	18		18	27				20			30				
Alternative Strategies: Hedge Funds and Liquid Alts		6		6	6		6	6	3	3	3	6	6	6	6	3	3	3	3
Building a Mutual Funds Advisory Practice (BMAP)								20	30		5				30				5

Canadian Securities Course (CSC)										Ex 1: 30 Ex 2: 30	30							Ex 1: 30 Ex 2: 30	30	30	Ex 1: 10	5	
Conduct and Practices Handbook (CPH)					10	3	30	3	30	30									30			3	
Covered Call Writing		3		3	3				3	3									3				
Derivatives Fundamentals and Options Licencing Course (DFOL)		20		40	15		30		30	30									30				
Derivatives Fundamentals Course (DFC)		20		40	15		30		30	30									30				
Enhanced Suitability for IIROC Advisors 6	3	3	3	3	3 <sup>1</sup>	3 <sup>1</sup>		3	3	3									3				
Equity Trading and Sales 2	3	9	3	9	9	3		3	9	9				9	2	9			9				
Fixed Income Trading and Sales 2	3	9	3	9	6	3	3		3	9				9	2	9			9				
Futures Licensing Course (FLC)		20		40	15		30		30	30									30				
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	5
Investment Management Techniques (IMT)		20					30		30	Ex 1: 30 Ex 2: 30	30							Ex 1: 30 Ex 2: 30	30	30		5	
Investment Strategies for Retirees		3		3	3				3	3		3							3	3	3	3	3
Investing in Bitcoin: Opportunities and Risks (BTC)	3 <sup>1</sup>	5 <sup>1</sup>	3 <sup>1</sup>	5 <sup>1</sup>	5 <sup>1</sup>	3 <sup>1</sup>	5	3 <sup>1</sup>	5 <sup>1</sup>	5		2		5		5		5	5	2	2	2	2
Negative Interest Rates: Origins and Implications (NIRCE)		2.5		2.5	2.5		2.5		2.5	2.5				2.5		2.5		2.5					
Options Licensing Course (OLC)		20		40	15		30		30	30									30				
Portfolio Management Techniques (PMT)		20					30		30	45	22.5								30	22.5	22.5	3	5
Portfolio Theory, Asset Allocation & Performance Measurement		3		3	3		3		3	3		3							3	3			3
Principal-Protected Notes 2		6		6	6		6		6	6		3		6		6		6	6	3			3
Responsible Investment: Trends and Opportunities		3		3	3		3		3	3				3		3		3					
Technical Analysis Course 2		20		40	30		30		30	30				40		30		50					
Trader Training Course 2		20		40						30				40	2	40		30					
Understanding High Frequency Trading 2		3		3	3				3	3				3		3		3					
<b>Wealth Management and Private Banking</b>																							
Advanced Investment Strategies (AIS)		20		40			15		15	45	5							25	5	5	5	5	
Case Application Examination										45								45					
CIWM Certification Examination		20		20			20		20	20	20			20		20		25	20	20	20	20	
<b>Dealing with Special HNW Client Situations</b>																							
Business Succession Planning		4		4			4		4	4	4			4				4	4	4	4	4	
Executive Compensation (EXCO)		3		3	3		3		3	3	3			3				3	3	3	3	3	
Financial Planning for Snowbirds		5		5	5		5		5	5	4	5		5		5		5	4	4		4	
Identifying a Private Client's Corporate Banking Needs		3		3	3		3		3	3				3				3					
International Taxation for Canadian Residents		4		4					4	4	4			4				4	4	4		4	
Protecting a Client's Small Business		4		4					4	4	4			4				4	4	4	4	4	
Tax Planning for Small Businesses		1		1					1	1	1			1				1	1	1	1	1	
Estate and Trust Administration									45	45								45					
Estate and Trust Asset Management					15				25	25								25					
<b>Estate Planning for HNW Clients</b>																							
Business Succession Planning		4		4			4		4	4	4			4				4	4	4	4	4	
Creating Client Awareness of Wealth Transfer Issues		2		2					2	2	2			2				2	2	2	2	2	
Planned Charitable Giving for Estate Planning Purposes		2		2					2	2	2			2				2	2	2	2	2	
Preparing Clients for the Inevitable		2.5		2.5					2.5	2.5	2.5			2.5				2.5	2.5	2.5	2.5	2.5	
Tax Planning for Wealth Transfer		4.5		3.5					3.5	3.5	3.5			3.5				3.5	3.5	3.5	3.5	3.5	
Trusts as an Estate Planning Tool		2.5		2.5					2.5	2.5	2.5			2.5				2.5	2.5	2.5	2.5	2.5	
Wealth Transfer and the Family		2.5		2.5					2.5	2.5	2.5			2.5				2.5	2.5	2.5	2.5	2.5	
Ethics and the Client Experience - Estates and Trust					15				25	25								25					
<b>Investment Strategies for HNW Clients</b>																							
Alternative Assets and Private Equity		3		3					3	3				3				3					
Alternative Strategies: Hedge Funds and Liquid Alts		6		6	6		6		6	3	3			6		6		6	3	3	3	3	
Exempt Securities Market		1.5		1.5					1.5	1.5				1.5				1.5					
Impediments to Wealth Accumulation		2		2					2	2	2			2				2	2	2		2	
International Investing		1.5		1.25					1.25	1.25				1.25				1.25					

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Managing Your Client's Investment Risk		3.5						3.5	3.5			3.5				3.5				
Portfolio Solutions		2.5						2.5	2.5			2.5				2.5				
Laws of Estates and Trusts					15			25	25							25				
Practice Management in HNW Segment																				
Attracting Clients in the High Net Worth Market		2			2			2	2	2		2			2	2	2	2	2	2
Behavioral Finance		2			2			2	2	2		2			2	2	2	2	2	2
Dealing with Affluent Clients		1			1			1	1	1		1			1	1	1	1	1	1
Dealing with Family Dynamics		1.5			1.5			1.5	1.5	1.5		1.5			1.5	1.5	1.5	1.5	1.5	1.5
Evaluating Client Profitability		0.5			0.5			0.5	0.5	0.5		0.5			0.5	0.5	0.5	0.5	0.5	0.5
Leveraging Professional Relationships		0.5			0.5			0.5	0.5	0.5		0.5			0.5	0.5	0.5	0.5	0.5	0.5
Life Stages and Transitions		1			1			1	1	1		1			1	1	1	1	1	1
Objectives Based Approach to Client Discovery		1.5			1.5			1.5	1.5	1.5		1.5			1.5	1.5	1.5	1.5	1.5	1.5
Retirement Planning for HNW Clients																				
Asset Location Strategies		1			1			1	1	1		1			1	1	1	1	1	1
Gifting to Family Members		1			1			1	1	1		1			1	1	1	1	1	1
Goal Based Investing		1.5			1.5			1.5	1.5	1.5		1.5			1.5	1.5	1.5			1.5
Income Producing Investments		3.5			3.5			3.5	3.5	3.5		3.5			3.5	3.5	3.5			3.5
Longevity of Retirement Portfolios		1.5			1.5			1.5	1.5	1.5		1.5			1.5	1.5	1.5			1.5
Protecting Family's Wealth		4.5			4.5			4.5	4.5	4.5		4.5			4.5	4.5	4.5	4.5	4.5	4.5
Protecting Wealth Against Divorce		1			1			1	1	1		1			1	1	1	1	1	1
Tax Strategies During Retirement		2.5			2.5			2.5	2.5	2.5		2.5			2.5	2.5	2.5	2.5	2.5	2.5
Trusts as an Asset Protection and Tax-Minimization Tool		0.5			0.5			0.5	0.5	0.5		0.5			0.5	0.5	0.5	0.5	0.5	0.5
Understanding Your Clients' Retirement		3			3			3	3	3		3			3	3	3	3	3	3
Taxation Considerations for Estates and Trusts		20			20	15		15	30	30		20		20	20	30	30	5		10
Wealth Management Essentials (WME)		20			40		30	30	45	30	24				Ex 1: 30 Ex 2: 30	30	30	10		10
<b>Business Banking</b>																				
Building Relationships with Small Business Clients (BRSB)		20			40	15		15	30	30					30	30	15	15		10
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>																				
AML and Beneficial Ownership (AMLBO)	2.5				2.5			2.5	2.5		3		2	2.5	2.5	2.5	2.5	2.5	2.5	2.5
Anti Money Laundering & Terrorist Financing for Securities Professionals	3	3			3	3	3 <sup>1</sup>	3 <sup>1</sup>	3		3				3					
Applied Investment Dealer Compliance <sup>2</sup>	9				9		6	3					2							
Branch Compliance Officer's Course (BCO)					10		12	3	12	3	9	30			30	13				5
Branch Manager's Course (BMC)	10	20			10	40	15	3	12	3	30	30			30					
Canadian Commodity Supervisors Exam (CCSE)	10	20			10	40	15	3	30	3	30	30			30					
CE Compliance Program Cycle 8	10				10			10	10	10		10		7.5	8	2				7.5
CE Ethics Course, Retail Version	10				10		9	3	12	3		12		10						10
Chief Compliance Officers Qualifying Examination (CCO)	10	20			10	40	15	3	30	3	30	30			30					5
Chief Financial Officers Qualifying Examination (CFO)	10	20			10	40	15	3	30	3	30									
Compliance with Know Your Product Requirements (CWKYP)	2.5				2.5			2.5	2.5	2.5		3		2	2.5					3
Cybersecurity and Privacy (CYPR)	2.5				2.5			2.5	2.5	2.5		3		2	2.5					2.5
Effective Management Seminars	10	20			10	20	15	3		3	20	20		13						13
Enhancing Client Relationships -CRM Phase 2 <sup>6</sup>	3				3			3		3		3		1	2	3				3
ETF for Mutual Fund Representatives <sup>6</sup> - Enrollments as of December 14, 2016		6				10	10		10		10	10		10		10				10
ETF for Mutual Fund Representatives <sup>6</sup> - Enrollments Prior to December 14, 2016					5	5		5		5		5				5				5

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Ethics for Institutional Registrants (EIR)	3		3		3	3	3			3			1	2	3	3				
FICB Integrative Project										45										45
Financial Services Industry: Business Drivers and Challenges (FSDC) 2		20		20	15		20		20	20	10	5	20		20	20	10	5	5	5
Insider Trading: Regulations and Prevention	3		3		3 <sup>1</sup>	3 <sup>1</sup>	3	3		3										3
Investing in ETFs (ETFCE)		4		4	4		4		4	4	4		4		4	4	4	4	4	4
Investment Dealer Compliance Course (IDCC)	10		10										10	2						
Investment Dealer Supervisors Course (IDSC)	10	20	10	40	15	3	12	5	25	30										
Leveraging CRM to Enhance Client Relationships - Seminar	10		10			3		3		12			10	2		12				
Managed Accounts: Compliance Issues and Considerations (MAS)	2.5		2.5			2.5	2.5	2.5						2	2.5	2.5				
Managing Compensation Related Conflicts of Interest (CRC)	5		5			3	5	5		5	3		3	2	5	5	3	3	3	3
Options Supervisors Course (OPSC) 2	10	20	10	40	15	3	30	3	30	30			40	2	40	30				
Overview and Trends - Trade Desk Risk Management and Compliance	10		10																	
Partners, Directors and Senior Officers Course (PDO)	10	20	10	40	15	3	30	3	30	30						30				
Private Placements and Prospectus-Exempt Securities (PPP)	2.5		2.5			2.5	2.5	2.5		2.5				2	2.5	2.5				
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				
Trading Compliance for Institutional Registrants (TCINST)	5		5			5	5	5		5			3	2	5	5				
Trading Compliance for Investment Representatives (TCIR)	5		5			5	5	5		5			3	2	5	5				
Understanding Investment Dealer Business Units 2	3	6	3	6	6	3	6	3	6				3		3					
Working with Vulnerable Clients (WVC)	2.5		2.5			2.5	2.5	2.5		3	2.5			2	2.5	2.5	2.5	2.5	2.5	2.5

\*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.

<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> This course is not eligible for CE credits for FP Canada.

<sup>5</sup> AMP participants are to self-report their third party CEU by logging on to [www.mortgagecampus.org](http://www.mortgagecampus.org)

<sup>6</sup> This CE activity has been approved by FP Canada as meeting the minimum requirements for CE approval as outlined within the FP Canada 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 (FP Canada).

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.