

## **Appendix B**

### **IIROC Regulatory Courses**

Canadian Securities Course (CSC)  
Conduct & Practices Handbook Course (CPH)  
New Entrants Course (NEC)  
Derivatives Fundamentals Course (DFC)  
Futures Licensing Course (FLC)  
Options Licensing Course (OLC)  
Derivatives Fundamentals and Options Licensing Course (DFOL)  
Branch Managers Course (BMC)  
Canadian Commodity Supervisors Exam (CCSE)  
Chief Financial Officers Qualifying Exam (CFO)  
Options Supervisors Course (OPSC)  
Partners, Directors and Senior Officers Course (PDO)  
Trader Trading Course (TTC)  
Effective Management Seminar (EMS)  
Wealth Management Essentials Course (WME)  
Chief Compliance Officers Qualifying Exam (CCO)  
Investment Management Techniques (IMT)  
Portfolio Management Techniques (PMT)  
Advanced Investment Strategies (AIS)