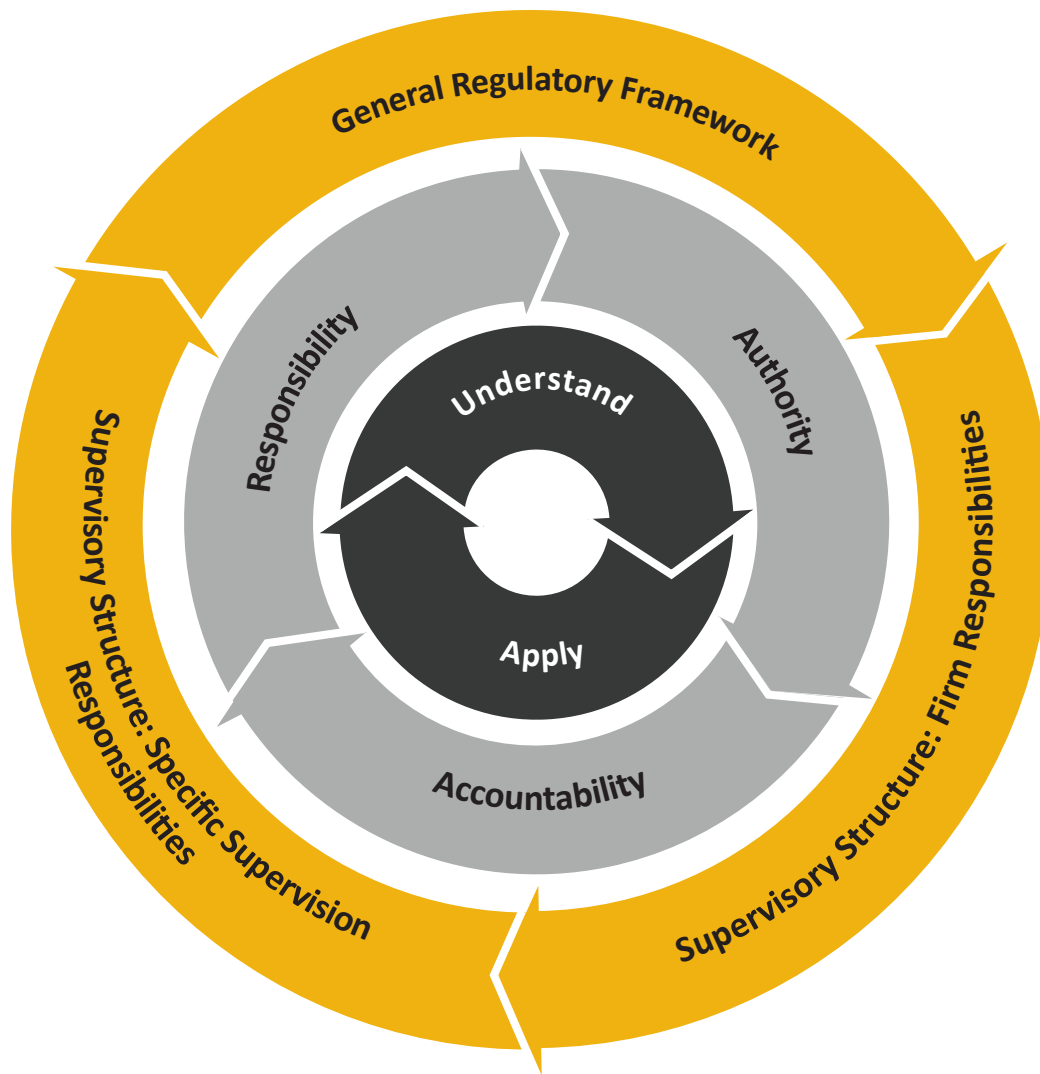


## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor 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 authority, accountability and responsibility defined by their firm, regulatory framework and oversight role.

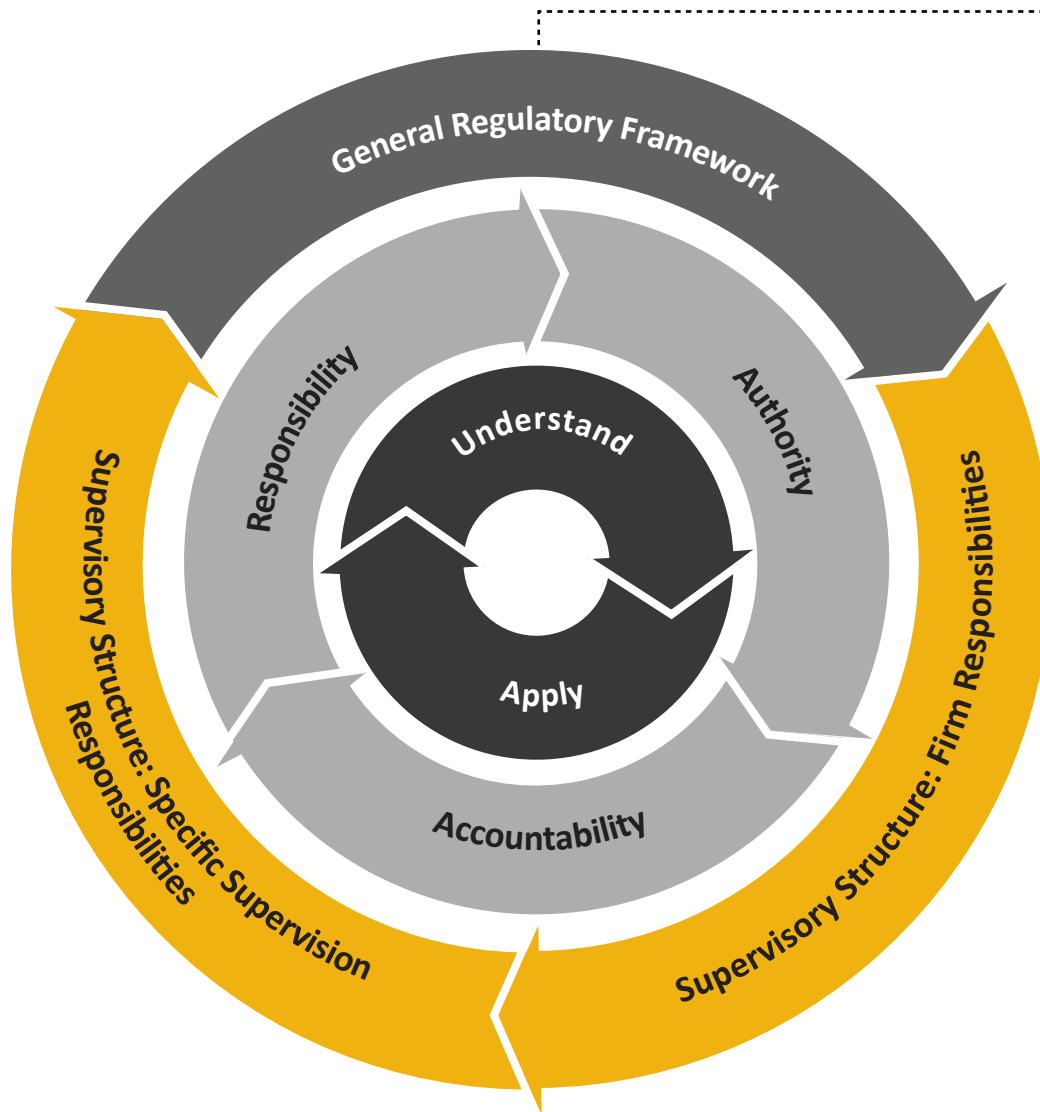
Please refer to [Appendix 4](#) to review the reference document for the Supervisor competency profile.



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### 1. General Regulatory Framework

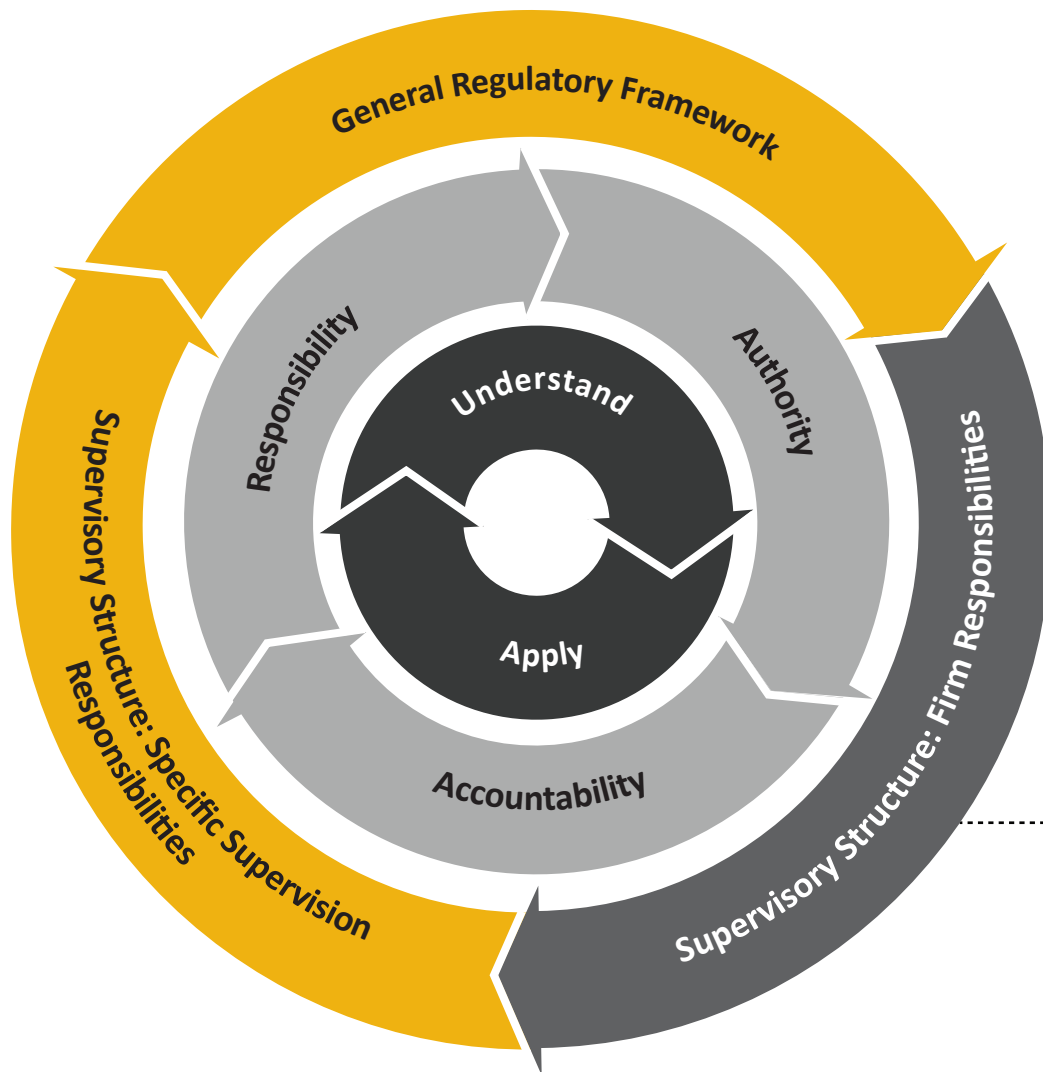
Understand and apply the following:

- I. Role of securities regulators, Self-Regulatory Organizations (SROs) and applicable laws
- II. Role of other agencies, financial regulators and applicable laws
- III. Client and other complaint handling
- IV. Ethics, conflicts of interest and confidentiality

## SUPERVISOR COMPETENCY PROFILE

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### 2. Supervisory Structure: Firm Responsibilities

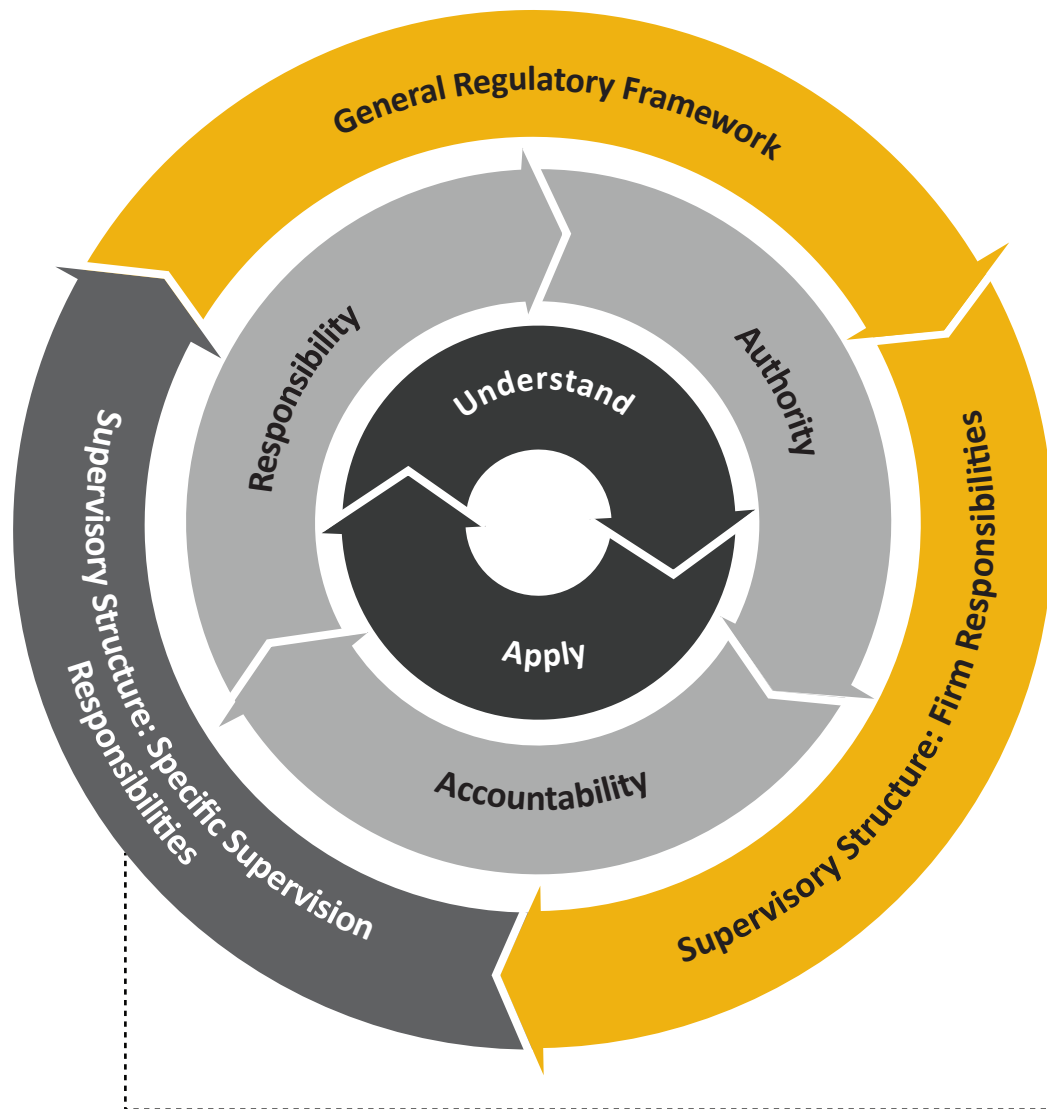
Understand and apply the following as applicable:

- I. General firm responsibilities
- II. Oversight by Executives
- III. Compliance function
- IV. General responsibilities of Supervisors
- V. Delegation and automation controls for supervisory tasks and activities

## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor 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 authority, accountability and responsibility defined by their firm, regulatory framework and oversight role.

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### 3. Supervisory Structure: Specific Supervision Responsibilities

Understand and apply the following as applicable:

- I. Business and operations
- II. Activities of Approved Persons engaged in trading
- III. Account approvals
- IV. Account activity
- V. Trading and market rules
- VI. Advertisements, sales literature and correspondence
- VII. Research reports
- VIII. Risks associated with firm activity and registered locations