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**Retail Banking**

|   |   |   |    |    |    |    |    |  |  |  |
|---|---|---|----|----|----|----|----|--|--|--|
| Anti Money Laundering & Terrorist Financing for Banking Professionals | * | * | 3  |    |    |    |    |  |  |  |
| Economics   | * |   |    | 90 |    |    |    |  |  |  |
| Personal Financial Services Advice                                    | * | * | 10 | 20 | 10 | 10 | 10 |  |  |  |
| Privacy: Personal information Protection Federal                      | * | * | 3  |    |    |    |    |  |  |  |

**Financial Planning and Insurance**

|  |   |   |    |    |    |    |    |    |   |  |
|--|---|---|----|----|----|----|----|----|---|--|
| Accounting   | * |   |    | 90 |    |    |    |    |   |  |
| Behavioural Finance - Get Inside Your Client's Mind      | * | * |    |    |    |    | 9  |    |   |  |
| Estate Planning  | * | * |    |    | 3  |    |    |    |   |  |
| Financial Planning for Businesses - Quebec               | * | * | 10 | 50 | 10 | 10 | 10 |    |   |  |
| Financial Planning for Snowbirds                         | * | * |    | 5  |    |    |    | 5  |   |  |
| Financial Planning I (FP I)                              | * | * | 10 | 20 | 10 | 10 | 10 |    |   |  |
| Financial Planning II (FP II)                            | * | * | 10 | 20 | 10 | 10 | 10 |    |   |  |
| Fundamentals of Financial Planning (FOFP)                | * | * | 3  | 10 | 10 |    | 10 |    |   |  |
| Fundamentals of Personal Finance                         | * | * | 10 | 50 | 10 | 10 | 10 |    |   |  |
| Individual Pension Plans                                 | * | * |    |    |    |    | 3  | 3  |   |  |
| Insurance and Retirement - Quebec                        | * | * |    | 60 | 10 | 10 | 10 |    |   |  |
| Investment and Tax Planning - Quebec                     | * | * |    | 60 | 10 | 10 | 10 |    |   |  |
| Investment and Taxation Fundamentals - Quebec            | * | * |    | 60 | 10 | 10 | 10 |    |   |  |
| Legal and Ethical Aspects of Financial Planning          | * | * | 10 | 50 | 10 | 10 | 10 |    |   |  |
| LLQP Insurance Course (Canada, Common Law or Civil Code) |   |   | 10 | 10 |    |    | 4  | 15 | 5 |  |
| Risk Management and Estate Planning - Quebec             | * | * |    | 60 | 10 | 10 | 10 |    |   |  |

**Investment Management and Trading**

|  |   |   |                  |    |                    |  |                    |                    |  |        |
|--|---|---|------------------|----|--------------------|--|--------------------|--------------------|--|--------|
| Anti Money Laundering & Terrorist Financing for Securities Professionals | * | * | 3                |    |                    |  |                    |                    |  | 3      |
| Canadian Securities Course (CSC)   | * | * | E1 - 5           |    | E2-10              |  | E1 - 55<br>E2 - 50 | E1 - 25<br>E2 - 30 |  | E1 - 5 |
| Commodities as Investment  | * |   |                  |    |                    |  | 30                 |                    |  |        |
| Conduct and Practices Handbook (CPH)                                     | * | * | 60               |    |                    |  |                    | 15                 |  | 5      |
| Covered Call Writing   | * | * |                  |    |                    |  | 3                  |                    |  |        |
| Derivatives Fundamentals and Options Licencing Course (DFOL)             | * | * | 10               | 10 |                    |  | 10                 | 15                 |  | 5      |
| Derivatives Fundamentals Course (DFC)                                    | * | * |                  |    |                    |  | 60                 |                    |  |        |
| Enhanced Suitability for IIROC Advisors                                  | * | * | 3                |    |                    |  |                    |                    |  | 3      |
| ETFs for Mutual Fund Representatives                                     | * |   | 3                |    |                    |  | 7                  |                    |  |        |
| Financial Markets - Risk Management Course (FRM)                         | * | * |                  |    |                    |  | 60                 |                    |  |        |
| Futures Licensing Course (FLC)   | * | * |                  |    |                    |  | 60                 |                    |  |        |
| Hedge Fund Essentials for Today's Financial Professionals                | * | * |                  |    |                    |  | 9                  | 9                  |  |        |
| How Mutual Funds and Hedge Funds Use Derivatives                         | * | * |                  |    |                    |  | 6                  |                    |  |        |
| Investment Funds in Canada (IFC)   | * | * | 10               | 10 |                    |  | 25                 | 25                 |  | 5      |
| Investment Management Techniques (IMT)                                   | * | * | E1-10<br>E2 - 10 |    | E1 - 10<br>E2 - 10 |  | E1 - 40<br>E2 - 40 | 25                 |  | 5      |
| Options Licensing Course (OLC)   | * | * |                  |    |                    |  | 60                 |                    |  |        |
| Options Strategies Course (OSTC)   | * | * |                  |    |                    |  | 60                 |                    |  |        |
| Portfolio Management Techniques (PMT)                                    | * | * | 5                |    | 10                 |  | 45                 | 25                 |  | 5      |
| Portfolio Theory, Asset Allocation & Performance Measurement             | * | * |                  |    |                    |  | 3                  | 3                  |  |        |
| Principal-Protected Notes  | * | * |                  |    |                    |  | 6                  | 6                  |  |        |
| Understanding TFSAs  | * | * |                  |    |                    |  | 3                  | 3                  |  |        |

**Wealth Management and Private Banking**

|   |   |   |    |    |    |   |    |    |  |   |
|---|---|---|----|----|----|---|----|----|--|---|
| A Guide to International Investing                        | * |   |    |    |    |   | 3  |    |  |   |
| Advanced Estate Planning and Trust Strategies (AETS)      | * |   | 2  | 10 | 1  |   |    | 15 |  |   |
| Advanced Investment Strategies (AIS)                      | * | * |    | 10 | 10 |   | 10 | 30 |  |   |
| Advanced Retirement and Estate Planning Strategies (ARES) | * |   |    | 10 | 10 |   | 10 |    |  |   |
| Advanced Retirement Management Strategies (ARMS)          | * |   | 10 | 10 | 10 | 8 | 10 | 15 |  | 5 |
| Strategic Wealth 360                                      | * |   |    |    | 10 |   | 20 |    |  |   |
| Wealth Management Essentials (WME)                        | * | * | 10 |    | 10 |   | 40 | 25 |  | 5 |

**Business Banking**

|   |   |   |   |    |  |  |  |  |  |  |
|---|---|---|---|----|--|--|--|--|--|--|
| Building Relationships with Small Business Clients (BRSB) | * | * | 2 | 10 |  |  |  |  |  |  |
| Delivering Small Business Solutions (DSBS)                | * | * |   | 10 |  |  |  |  |  |  |
| Small Business Lending (SBLC)                             | * | * |   | 10 |  |  |  |  |  |  |
| Small Business Operations and Financial Analysis (SBOF)   | * | * |   | 10 |  |  |  |  |  |  |
| Understanding the Small Business Environment (USBE)       | * | * | 2 | 10 |  |  |  |  |  |  |

**Management, Supervision and Compliance**

|   |   |   |    |    |   |   |    |    |  |    |
|---|---|---|----|----|---|---|----|----|--|----|
| Applied Investment Dealer Compliance                                | * |   | 9  |    |   |   |    |    |  | 9  |
| Branch Compliance Officer's Course                                  | * | * | 10 | 10 |   |   | 10 | 2  |  | 28 |
| Branch Manager's Course (BMC)                                       | * | * | 60 |    |   |   |    |    |  |    |
| Bringing New Issues to Market (BNIM)                                | * | * | 3  |    |   |   |    |    |  |    |
| Canadian Commodity Supervisors Exam (CCSE)                          | * | * | 30 |    |   |   | 30 |    |  |    |
| Canadian OTC Derivatives Market Reform (CDMR)                       | * | * | 3  |    |   |   |    |    |  |    |
| CE Ethics Course, Retail Version                                    | * | * | 12 |    |   |   |    |    |  |    |
| Effective Management Seminar  | * | * | 10 | 10 |   |   |    |    |  |    |
| Enhancing Client Relationships – CRM Phase 2                        | * | * | 3  |    |   |   |    |    |  | 3  |
| Financial Services Industry: Business Drivers and Challenges (FSDC) | * | * | 5  | 5  | 1 | 1 | 9  | 15 |  | 5  |
| Insider Trading: Regulations and Prevention                         | * | * | 3  |    |   |   |    |    |  | 3  |
| Options Supervisors Course (OPSC)                                   | * | * | 30 |    |   |   | 30 |    |  |    |
| Partners, Directors and Senior Officers Course (PDO)                | * | * | 30 | 30 |   |   |    | 25 |  | 5  |
| Role of the Gatekeeper  | * | * |    | 3  |   |   |    |    |  | 3  |
| Understanding Investment Dealer Business Units                      | * | * |    | 4  |   |   | 2  | 6  |  |    |



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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.

<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.

Updated JUNE 2018