

Re: Investment Dealer Continuing Education Program Accreditation for 2022-2023

The Canadian Investment Regulatory Organization (CIRO) reviews and accredits programs offered by the Conduct, Compliance and Legal Section (CCLS) Education Sub-committee for compliance with its Investment Dealer and Partially Consolidated (IDPC) Continuing Education Rules.

This letter certifies that CIRO has determined the following CCLS program meets the requirements of Rule 2700 of the IDPC and has awarded continuing education credits.

Program: The Challenges of Recruiting, Training and Monitoring Compliance Staff in the Work from Anywhere Environment

Program Date: November 30, 2023

The CCLS Education Sub-Committee will issue a letter of attendance, which includes details of the program's accreditation.

With best regards,

Proficiency team

Canadian Investment Regulatory Organization (CIRO), Investment Dealer Division