The Canadian Institute of Financial Planning
Now owned and operated by Financial Planners

CIFP Securities Compliance Principles

Cycle 5 IIROC CE credits

The CIFP Securities Compliance Principles is comprised of the following 3 courses:

- Know your Client and Risk Management – 4.5 IIROC Compliance credits
- Compliance and Sales and Trading Conduct – 4.5 IIROC Compliance credits
- Ethics – 3 IIROC Compliance credits

Know your Client and Risk Management:

This course is designed to update advisors in specific areas of IIROC compliance requirements. This course is intended to reinforce and further develop your understanding of the Know Your Client rules and the Risk Management process in the Securities industry. Advisors will review the different rules and requirements for completing the Know Your Client application, how to handle client complaints from beginning to end and the importance of keeping good records. Advisors will also learn how risk is managed and how different levels of risk are defined. Fraud scenarios and how to recognize, report and protect advisors and their firm are reviewed.

Compliance and Sales and Trading Conduct:

This course is designed to update advisors in specific areas of IIROC compliance requirements. In this course advisors will learn about the function and importance of compliance in the financial services industry. The course will also define your role as an advisor and your responsibilities as you carry out your duties and obligations towards investors and your firm. The course also explores the role of compliance in a firm's sales practices to ensure that conflicts of interest are avoided and proper trading conduct is observed by the firm and its advisors.

Ethics:

This course is designed to update advisors in specific areas of IIROC compliance requirements. In this course, advisors will learn the difference between compliance and ethics and how the advisor's values and the firm's values are inter-related. The course will also cover ethical responsibilities of an advisor and the obligations to the client, the firm and the public. Finally, the course covers the ethical decision making process and the different methods to assist advisors when policy does not cover a decision an advisor needs to make.

Bundled price for the 3 compliance courses - $150.00

Individual Pricing:

- Know your Client and Risk Management - $100.00
- Compliance and Sales and Trading Conduct - $100.00
- Ethics: $75.00

For further information on this program contact:

Phone: 1-866-635-5526
Email: cifpgeneral@cifps.ca

Please note if you took this title for Cycle 4 it does not qualify as a Cycle 5 title. We are currently working on a new title people in this situation. If you have further questions on this please feel free to contact us.