

SCHEDULE E:  
QUALIFICATION OF  
INDIVIDUALS

## QUALIFICATION OF INDIVIDUALS

The courses offered by the Canadian Securities Institute (CSI), Investment Funds Institute of Canada (IFIC) and the Institute of Canadian Bankers (ICB) identified below (including predecessor and successor courses) are acceptable.

Refer to Rule 1.2.4 “Currency of Courses” for further guidance.

Type of Registration/Approval	Proficiency
Salesperson/Approved Person	<p>In accordance with Rule 1.2.1, successful completion of <u>one</u> of the following:            Canadian Securities Course (CSI),            Canadian Investment Funds Course (IFIC),            Investment Funds in Canada Course (ICB), or            The Principles of Mutual Funds Course formerly offered by the Trust Companies Institute.</p> <p>For salespersons licensed only in Quebec, the following courses are also acceptable:</p> <p>Placements des particuliers (CEGP), and            Cours sur les fonds distincts et fonds communs de placement (CSI).</p>
Branch Manager/Alternate Branch Manager*	<p>In accordance with Rule 1.2.2, prior license or registration under applicable securities legislation as a trading partner, director, officer or compliance officer of a mutual fund dealer</p> <p>OR</p> <p>Successful completion of the salesperson’s proficiency courses listed above, AND any one of            Branch Managers' Course (CSI),            Mutual Fund Branch Managers’ Course (IFIC), or            Branch Compliance Officers Course (ICB).</p>
Trading Partners, Directors, Officers and Compliance Officers	<p>In accordance with Rule 1.2.3, successful completion of any one of the salesperson’s proficiency courses listed above,            AND            either one of the following:            Partners', Directors' and Senior Officers' Qualifying Examination (CSI) or            Mutual Fund Officers', Partners' and Directors' Course (IFIC)</p>

\* Refer to MFDA Rule 1.2.2(b) for additional experience requirements