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CIRO, Marketplaces, Clearing Agencies and Trade Repositories

B.11.1 CIRO

B.11.1.1 Canadian Investment Regulatory Organization (CIRO) – Proposed Amendments to Harmonize CIRO Continuing Education Programs – Request for Comment

REQUEST FOR COMMENT

CANADIAN INVESTMENT REGULATORY ORGANIZATION (CIRO)

PROPOSED AMENDMENTS TO HARMONIZE CIRO CONTINUING EDUCATION PROGRAMS

CIRO is publishing for comment proposed rule amendments to its continuing education (**CE**) programs under the Investment Dealer and Partial Consolidated Rules and the Mutual Fund Dealer Rules as part of its commitment to developing harmonized CE rules.

The primary purpose of this bulletin is to seek comments on the proposed rule amendments, which is part of the first phase to harmonize:

- firm record-keeping and reporting responsibilities for CE,
- accreditation requirements,
- types of courses or activities that qualify for CE,
- treatment of CE course repeats,
- treatment of carry forwards, and
- the approach with the Voluntary Participation Program.

CIRO is also seeking feedback on further considerations for CE harmonization, which it plans to propose as the second phase of amendments.

A copy of the CIRO Bulletin, including the text of the proposed rule amendments, is also available on the Ontario Securities Commission website at www.osc.ca. The comment period ends on March 18, 2025.