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Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

CIRO Proficiency Program

1018 – Mandatory Conduct Training Policy

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Purpose and Scope of Policy

All Approved Persons are required to complete the CIRO Conduct Training.

Approved Persons must attest that they are enrolling in the Conduct Training in accordance with CIRO's requirements.

This policy provides information on the conditions of enrolment, and responsibilities for completion of, Conduct Training for Approved Persons.

Policy Requirements

Eligibility and Enrolment

Individuals who are enrolling in Conduct Training must attest they are either:

- A new Approved Person and subject to the Conduct Training requirement under the applicable CIRO rules; or
- An existing Approved Person as of January 1, 2026, and subject to the Conduct Training requirement under the applicable CIRO rules; or
- Required by CIRO to complete the Conduct Training as a condition of their approval or for other regulatory reasons.

If you are not within one of the above individual categories as of the date you are enrolling for the Conduct Training, you are NOT permitted to enroll in the Conduct Training.

Misrepresentation may lead to action by CIRO including; permanent ban from the enrolment site that prevents you from further being able to take CIRO exams or any other training provided in the future, the requirement to re-take the Conduct Training, imposition of the fee associated with the training, or other regulatory action as considered appropriate by CIRO.

Approved Persons who are enrolling in Conduct Training must provide the following upon enrolment:

- Their Approved Person category.
- The name of their employing dealer.
- The name and email address of their supervisor at the dealer.

Individuals are responsible for completing the Conduct Training through the Candidate portal within the timelines prescribed by CIRO.

Completion

Confirmation of completion of the Conduct Training will be provided immediately upon completion to the Approved Person and will be available immediately for review in the Candidate portal.

Approved Persons are responsible for reporting completion to their dealer in accordance with their dealer procedures and CIRO requirements.

Information Available to Dealers and CIRO

Where a dealer has access to the firm portal, the Conduct Training information will be available to the dealer. CIRO will also have access to the Candidate's Conduct Training data.



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