

# Canadian Securities Institute (CSI)

## Qualifications for Securities Industry Essentials (SIE) Exemption

A pass result for the following combination of exams qualifies an individual for the SIE exemption.

<b>Required Course</b>
Canadian Securities Course (CSC®)
<b>Plus, one of the following:</b>
<b>Investment Advisor/Representative</b>
Conduct and Practices Handbook Course (CPH)
Wealth Management Essentials (WME)
WME for Financial Planners
WME for Investment Managers
WME for Wealth Managers
<b>Portfolio Management/Mutual Funds</b>
Investment Management Techniques (IMT)
Portfolio Management Techniques (PMT)
Advanced Investment Strategies (AIS)
Investment Funds in Canada (IFC)
<b>Options &amp; Futures Licensing</b>
Derivatives Fundamentals Course (DFC)
Options Licensing Course (OLC)
Derivatives Fundamentals and Options Licensing Course (DFOL)
Futures Licensing Course (FLC)
<b>Compliance</b>
Partners, Directors and Senior Officers Course (PDO)
Branch Managers Course (BMC)
Chief Compliance Officers Qualifying Exam (CCO)
Chief Financial Officers Qualifying Exam (CFO)
Options Supervisors Course (OPSC)
Branch Compliance Officer's Course (BCO)