NOVA SCOTIA Securities Commission

Proficiency Requirements for Registration

Mutual fund dealer – dealing representative: the individual has passed

- Canadian Investment Funds Course Exam
- Canadian Securities Course Exam
- Investment Funds in Canada Course Exam.
- Or the individual has earned a CFA Charter and has gained 12 months of relevant securities industry experience in the 36-month period before applying for registration.

Investment dealer - dealing representative: individual has passed

- Canadian Securities Course Exam
- Conduct and Practices Handbook Course and the 90-day training program.

Scholarship plan dealer – dealing representative: the individual has passed

- The Sales Representative Proficiency Exam.

Exempt market dealer – dealing representative: the individual has passed

- Canadian Securities Course Exam
- Exempt Market Products Exam
- Or the individual has earned a CFA Charter and has gained 12 months of relevant securities industry experience in the 36-month period before applying for registration.

Portfolio manager – advising representative: the individual has earned

- CFA Charter and has gained 12 months of relevant investment management experience in the 36-month period before applying for registration
- Or the individual has received the Canadian Investment Manager designation and has gained 48 months of relevant investment management experience.
    - 12 months of which was gained in the 36-month period before applying for registration.

Portfolio manager – associate advising representative: the individual has completed

- Level 1 of the Chartered Financial Analyst program and has gained 24 months of relevant investment management experience.
- Or the individual has received the Canadian Investment Manager designation and has gained 24 months of relevant investment management experience**.**

****As required in NATIONAL INSTRUMENT 31-103 - REGISTRATION REQUIREMENTS, EXEMPTIONS AND ONGOING REGISTRANT OBLIGATIONS.***

****Please see CSA Staff Notice 31-332 Relevant Investment Management Experience for Advising Representatives and Associate Advising Representatives of Portfolio Managers for examples of what is considered relevant investment management experience.***

Bus: 902-424-7768 • Fax: 902-424-4625 • nssc@gov.ns.ca