



# Exempt Market Proficiency Course (EMP)

EXEMPT MARKET



The Exempt Market Proficiency Course is a proficiency requirement for those individuals seeking registration as Exempt Market Dealers – Dealing Representatives and Chief Compliance Officers. The EMP course introduces students to these complex financial instruments and prepares them to operate in the world of private capital markets. Students learn about the capital markets, the exempt market, the all-important know-your-client and know-your-product rules, ethical conduct, the private placement process, how different issuers are structured, compliance requirements and features of common exempt securities.

## Course Highlights

- Clear and concise content
- User-friendly format for effective learning
- Examples and exercises to assist with comprehension
- Practice exam to prepare for the final exam
- One-year enrolment period
- Final exam delivered by computer-based testing partner, Pearson VUE

## Key Topics

- Overview of the capital markets
- Regulatory framework
- Compliance for exempt market dealers
- Dealing with clients
- The private placement process
- The structures of issuers
- Real estate and mortgage investments
- Flow-through shares
- The mining industry
- The oil and gas industry
- Hedge funds
- Know your client and suitability

## Register Now!

To enrol, please call **1.888.865.2437** or visit **www.ifse.ca**.

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### COST

\$550 (IFIC Members) + tax  
\$650 (Non-members) + tax

### CORPORATE RATES

Please contact Fatema Nazarali, Director of Sales and Business Development, at 1.888.865.4342 ext 836.

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