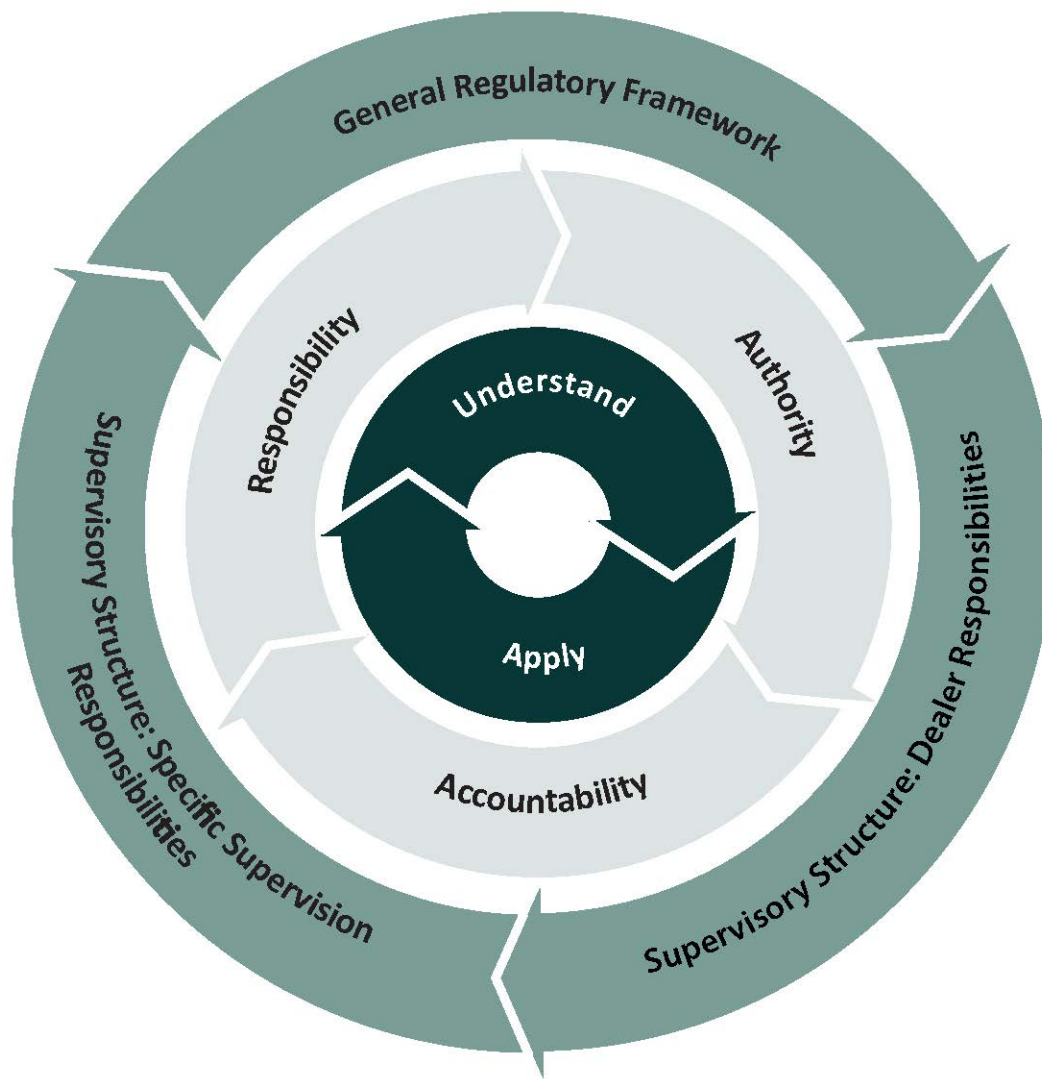


## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support their authority, accountability and responsibility as designed by their dealer, regulatory framework and role.

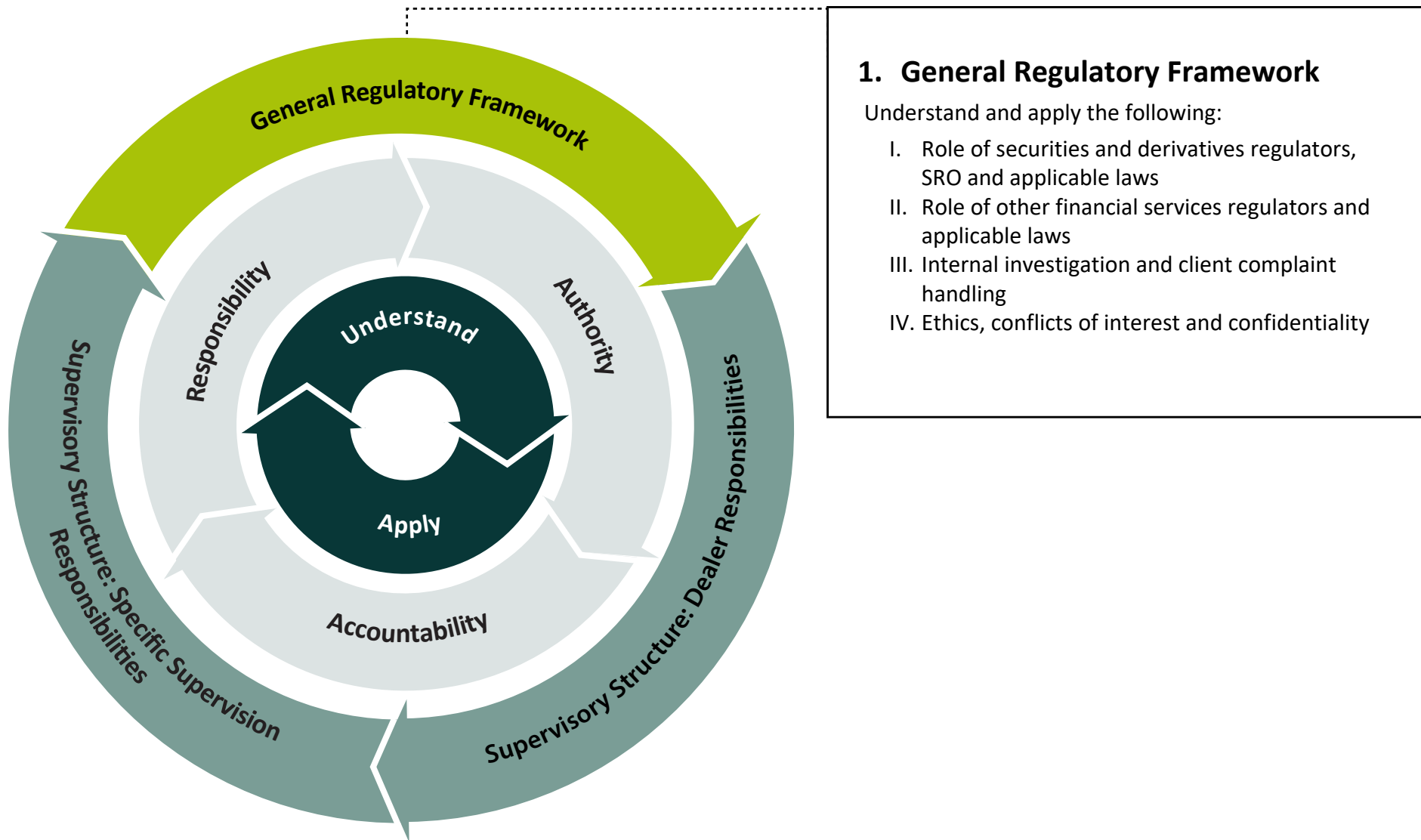
Please refer to [Appendix 16](#) to review the reference document for the Supervisor competency profile.



## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support their authority, accountability and responsibility as designed by their dealer, regulatory framework and role.

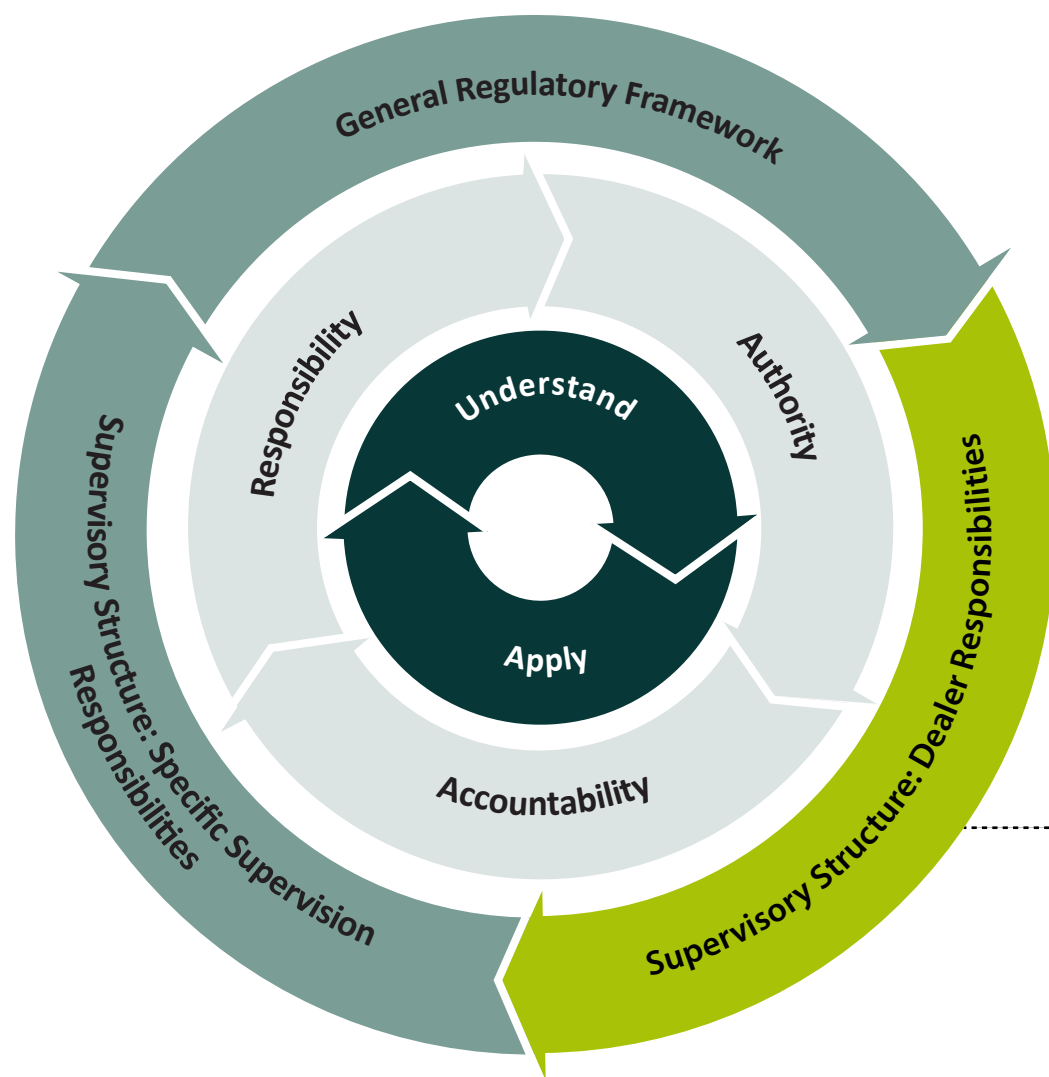
Please refer to Appendix 16 to review the reference document for the Supervisor competency profile.



## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support their authority, accountability and responsibility as designed by their dealer, regulatory framework and role.

Please refer to Appendix 16 to review the reference document for the Supervisor competency profile.



### 2. Supervisory Structure: Dealer Responsibilities

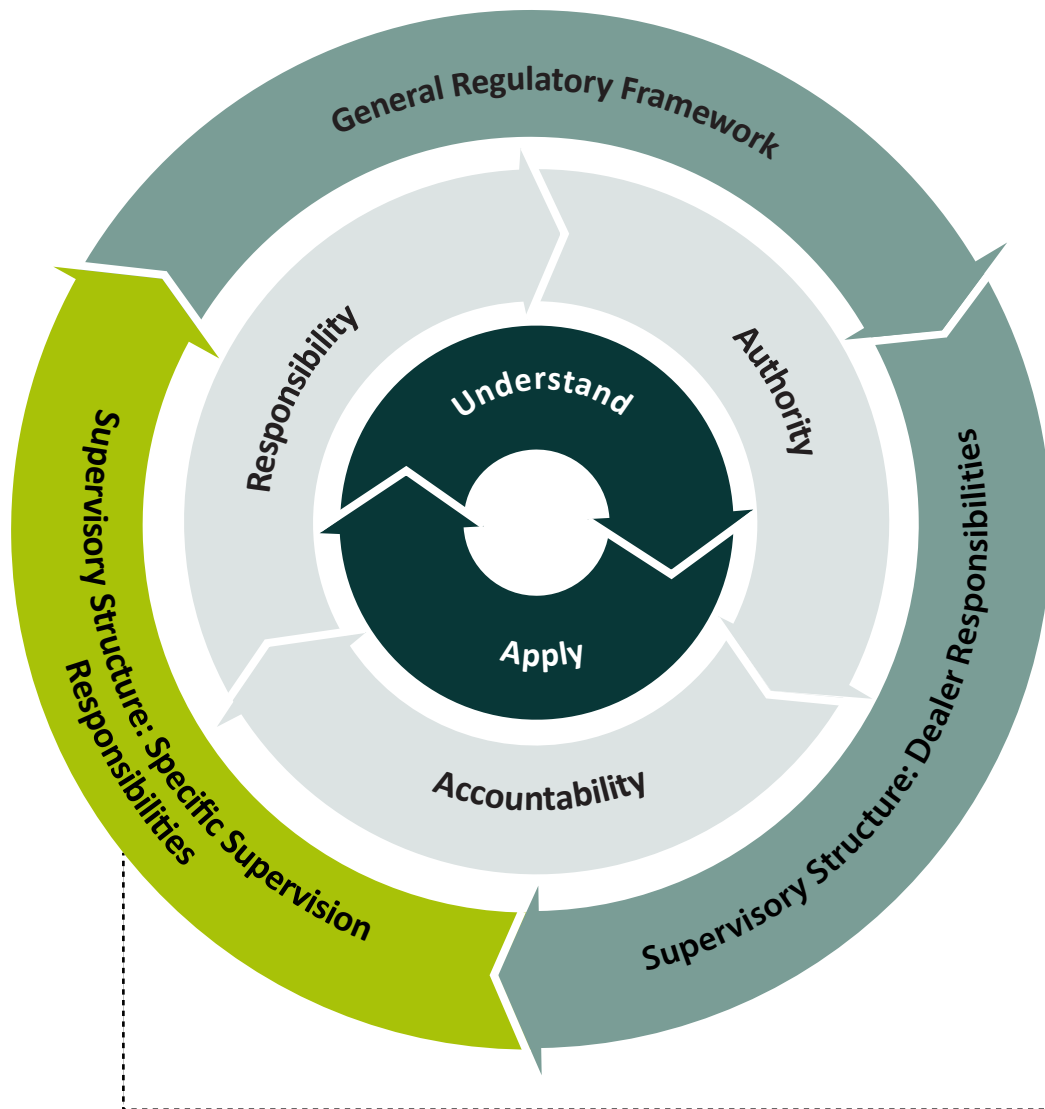
Understand and apply the following as applicable:

- I. General dealer responsibilities
- II. Oversight by Executives
- III. Compliance function
- IV. General responsibilities of Supervisors
- V. Delegation and automation controls for supervisory tasks and activities

## SUPERVISOR COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant Supervisor from a regulatory perspective. It captures the general knowledge, behaviours and skills they need to have and apply to support their authority, accountability and responsibility as designed by their dealer, regulatory framework and role.

Please refer to Appendix 16 to review the reference document for the Supervisor competency profile.



### 3. Supervisory Structure: Specific Supervision Responsibilities

Understand and apply the following as applicable:

- I. Business and operations
- II. Activities of Approved Persons engaged in dealing and advising
- III. Account approvals
- IV. Account activity
- V. Trading and market rules
- VI. Advertisements, sales literature and correspondence
- VII. Research reports
- VIII. Risks associated with dealer activity and registered locations