CIRO · OCRI

Canadian Investment Regulatory Organization

Organisme canadien de réglementation des investissements

CONTINUING EDUCATION
COURSE ACCREDITATION APPLICATION

1. Application instructions

A. Overview

This form is used to assess continuing education (CE) courses under the Investment Dealer and Partially Consolidated Rules (IDPC) of the Canadian Investment Regulatory Organization (CIRO), a consolidation of the Investment Industry Regulatory Organization of Canada and the Mutual Fund Dealers Association of Canada.

Courses accredited under IDPC Rules are also recognized under CIRO Mutual Fund Dealer (MFD) Rule 900 and may qualify for cross-listing on CERTS. Please refer to Sections 2 and 8 of this application form for details.

Note:

Beginning July 4, 2026, CIRO will accredit courses for Québec MFD Representatives subject to the Conditions relating to the exemptive relief for Québec mutual fund dealers (Québec MFD exemptive relief conditions).

Courses accredited by CIRO under the Québec MFD exemptive relief conditions will also be listed on the appropriate system platform(s). This process is referred to as cross-listing.

For course accreditation with cross-listing, please refer to Section 2, 8 and 9. These sections should be completed where applicable, in addition to all required sections.

B. CE educational element

Included in our consideration are the following CE educational elements:

- General objective(s) of the course
- Proficiency enhancement for CE participants
- Qualified instructional personnel
- Instructional delivery methods
- Assessment strategies
- Control measures to ensure participation

C. Complete and send

A complete application includes:

- Completing all sections unless specified otherwise
- Selecting all applicable checkboxes
- Using the fillable page (at the end of the form) to add information, when necessary
- Any other information requested, as per subsection D below including course materials
- Application fee payment as per section 3 below

Send your completed application to **accreditation@ciro.ca** using the following format in your email title: CE accreditation application [year] – [Course provider's name] – [Course title]

D. Confirmation and request for additional information

You will receive an automated email, which confirms we have received your application. You may also receive an email from us requesting information, supporting documents or materials, or a list of deficiencies to address. We aim to send you the request for additional information, within 15 business days after receiving your application form including payment. **We will deem the application abandoned if you fail to provide the requested information within 20 business days.** Application fees will **not** be reimbursed. You will then have to file a new application form, and submit another payment, if you would like the course reviewed at a later date.

We aim to complete the review within 15 business days of receiving a complete application, including payment and additional information that may have been requested.

E. Resources and references

IDCP Rule 2700 – Continuing Education requirements for Approved Persons

Conditions relating to the exemptive relief for Québec mutual fund dealers

Bulletin on Streamlined Accreditation Process with CERTS Cross-Listing Option

Notice on Continuing Education Course Accreditation by IIROC

Guidance on IIROC's Continuing Education

Program CE webpage

2. Cross-listing

Course providers may request to have their courses accredited for compliance with both the Québec MFD exemptive relief conditions and CIRO Mutual Fund Dealer (MFD) Rule 900 by paying the appropriate fee and completing Section 8 and 9 of this application form. Courses that meet the requirements of the relevant CE program will be listed, as appropriate, on the corresponding MFD platform: CERTS for MFD Rule 900 and the Chambre's platform for the Québec MFD exemptive relief.

Cross-listing on both CERTS and the Chambre platforms can be requested at the time of accreditation by paying a single cross-listing fee. However, requesting cross-listing at a later date – whether because no cross-listing was originally selected or only one MFD platform was chosen – may result in additional fees.

If you want your course listed on CERTS and don't have a provider account or admin access for the platform, please contact mutualfunddealerce@ciro.ca before proceeding.

3. Payment instruction

A. Payment method

The following fees are payable by credit card through our Accreditation Payment Page. Payment instructions are available on the page. Please ensure you **select the correct product** to avoid processing delays.

- $300 per application requiring CIRO accreditation only Select "CE Accreditation – Application Fee"
- $350 per application requiring CIRO accreditation and cross listing Select "CE Accreditation – Application with cross-listing fee"

B. Payment confirmation

You will receive an automated email confirming payment. We also receive a copy of this payment confirmation.

4. Applicant information

A. Name of course provider

Please be sure to indicate the legal name of your organization or firm.

B. Contact person and information (including email)

Please include information for the person responsible for the course.

C. Website name and URL (if any)

D. Type of organization:

5. CE course information

A. Title (English and French, if available)

Please indicate the course name as you require it to appear.

B. Number of CE credits requested

A minimum of 0.50 must be requested. Accreditation is done in 0.25 increment. No single Compliance course may be worth over 10 credits and no single Professional Development course may be worth over 20 credits. Generally, one hour of course is worth 1.00 CE credit. Deductions may be made for off- topic content, promotional, or proprietary content. Please refer to our Notice on Continuing Education Course Accreditation by IIROC for more information on deductions.

C. Course duration

Please indicate the total course duration in minutes or hours. For fixed duration learning activities, please indicate actual runtime. If the application is for an upcoming event or for a course with learning activities that do not have a fixed duration, please indicate that the duration is an estimate.

☐ Actual runtime ☐ Estimate

D. Previous accreditation (if applicable)

If this course was accredited in a previous cycle, please provide the cycle ID number and course name. If the course contains new material since it was last accredited, please identify this material under Section 6. A. or Section 7 of this form. Previously approved courses that contain new material will be identified in our public records.

☐ Contains new material ☐ Does not contain new material

E. CE cycle

Course providers may submit applications for the following cycle starting November 1 of the final year of a cycle. You may also request accreditation for both the current and next cycle in a single application, provided that the following criteria are met:

1. **The application is received between November 1 and December 31 of the final year of a cycle**
2. **The course release date (see subsection 5. H. – Date of Course) is between November 1 and December 31 of the final year of same cycle**
3. **The course will be available next cycle**
4. **The course provider has opted in to have the accreditation applied both cycles**

☐ Current ☐ Next

F. CE type

Courses accredited for compliance will be published with "C" as an identifier in their accreditation number. Courses accredited for professional development will be published with "P" as an identifier in their accreditation number. Courses that can be used for either compliance or professional development will have "CP" as the identifier. Those courses for which one portion is compliance and one portion is professional development will have the same courses numbers with "C" and also "P" separately listed.

☐ Compliance ☐ Professional Development

G. Availability

This information will be public. It is to help Approved Persons find appropriate courses. If this course is not available to the public, please check the "This course is private" box. Courses that are not available to the public will appear as "private" in our public records.

☐ This course is private

H. Date of Course

Please indicate the date the course was initially made available or the date the course is planned to take place or become available. Course providers should only seek accreditation for upcoming events if they already have all relevant material available.

I. Accreditation or Recognition Refusal

Please indicate whether this course has ever been refused or denied accreditation by any accrediting body. If so, provide the name(s) of the accrediting body(ies) and the reasons for the decision.

☐ No ☐ Yes

6. CE educational elements

A. General course objective(s) and overview

Please indicate the general course objective(s) and provide with a descriptive overview of the course content. This overview should at least include information about each course module or section, a detailed course outline, or a table of contents. We also ask that you indicate proportions allocated for each element (totaling 100%). If the course contains promotional or proprietary content, please check the box below and clearly identify this content in your overview. Promotional and proprietary content include all firm-specific models, tools, methodologies, and products.

☐ **This course contains promotional or proprietary content, identified below**

B. Proficiency enhancement for CE participants

Please describe how this course enhances and further develop baseline licensing proficiencies of Investment Dealer approved persons, and select all appropriate topics of learning covered in the course. If applying for compliance and professional development, please make sure to address each separately.

Compliance	**Professional development**

Select all relevant topics of learning

Compliance	**Professional development**

C. Qualified instructional personnel

Those responsible for course planning, development and delivery should have the training, credentials and knowledge that a reasonable person would find necessary to perform the activity competently.

Planning			
Name: Job title:		Experience and credentials:	
Development			
Name: Job title:		Experience and credentials:	
Delivery			
Name: Job title:		Experience and credentials:	

D. Instructional delivery methods

Please indicate the instructional delivery method(s) for the course. Be sure to list all relevant educational materials and media or technological resources, as well as the duration for each element. For example, for a conference with multiple presentations, we expect each presentation be on a separate line with details of the supporting material used (ex.: 25 pages of PowerPoint) and duration (ex. 1 hour).

Delivery method	Material or resources, including number of pages	Duration

E. Assessment strategies

Please detail the assessment strategies used for the course. Be sure to detail all relevant assessment materials and media or technological resources, as well as the number and type of questions and duration for each element. For example, for a multiple-choice exam, we expect to see information on the number of questions on the exam, the number of choices provided, the number of questions in the pool of possible questions, passing grade and exam duration.

Methods of assessment	Assessment material	Duration

F. Control measures

Please select all that apply and provide details as to how attendance or participation is recorded.

- ☐ **Formative assessment**
- ☐ **Identity verification**
- ☐ **Participation tokens**
- ☐ **Summative assessment**
- ☐ **Attendance verification or registry**
- ☐ **Questions to verify participation or attendance**

Other: _____

Details:

7. Additional information (optional)

Please use this fillable page to add any additional information.

8. MFD CERTS Cross Listing (if applicable)

A. MFD CE Cross-listing

☐ I would like this course to be cross-listed on CERTS, and I confirm that the correct fee has been paid.

B. CERTS Provider ID:

Please provide your CERTS Provider ID. **If you don't have one, please email mutualfunddealerce@ciro.ca for assistance.**

C. Internal Activity Number (optional):

Please provide the internal activity number for this course, if applicable.

D. Description:

Please provide a short description of this course, which will appear in the CERTS system.

E. CE Credits

Credits are to be assigned on a 1:1 basis, please refer to Mapping of CIRO ID CE Accreditation to MFD CE Credit Categories and specify the MFD CE credits requested below:

Professional Development (PD): _____

Business Conduct (BC) Ethics: _____

Business Conduct (BC) Non-Ethics: _____

F. Participant Access

☐ All participants

☐ Do not display this activity in the CERTS Course Catalogue (for activities where attendance reporting will be completed by the Provider on behalf of participants)

G. Renewal (if applicable)

Please indicate if this is for renewal. If yes, please include the current MFDA activity number (100000XXXX). Note: If there are any changes to credit amounts or categories, the application cannot be submitted as a renewal.

☐ Yes ☐ No

9. Québec MFD accreditation and Cross-Listing (if applicable)

A. Québec MFD Cross-listing

☐ I would like this course to be accredited under the Québec MFD exemptive relief conditions and cross-listed on the Chambre's platform, and I confirm that the correct fee has been paid.

B. Language Availability and Course Title(s)

Please make sure to include French and English titles, as appropriate, under subsection 5. A.

C. AMF Certificate number of the developer/trainer

Please make sure to include this information under subsection 6. C.

D. Renewal

Are you seeking renewal for an activity that was recognized by the Chambre and is about to expire?

☐ Yes ☐ No

Chambre/CSF recognition number of the activity: _____

E. Is this activity only offered to individuals within your organization?

☐ Yes ☐ No

F. Subject(s) corresponding to the CE activity

Check subjects, as appropriate

General Subjects

- ☐ Management of a financial services firm
- ☐ Accounting
- ☐ Finance
- ☐ Business planning for representatives
- ☐ Tax planning
- ☐ Legislative environment
- ☐ Civil Code
- ☐ Economics
- ☐ Business planning for clients
- ☐ Financial planning
- ☐ Actuarial sciences
- ☐ Intestate and testamentary successions

Mutual Funds

- ☐ Client counselling
- ☐ Retirement and estate planning
- ☐ Strategy of wealth accumulation and use
- ☐ Mutual funds
- ☐ Investment strategy
- ☐ Registered plans
- ☐ Underwriting or risk management
- ☐ Trusts
- ☐ Deferred income plans
- ☐ Investor profile and asset allocation
- ☐ Knowing the client

Compliance with standards, ethics, and business conduct

- ☐ Compliance programs
- ☐ Protecting personal information
- ☐ Regulation respecting the rules of ethics in the securities sector
- ☐ Ethics, standards of conduct and professional ethics
- ☐ Information security
- ☐ Legal and regulatory obligations of registrants
- ☐ Judicial decisions related to the practice of representatives

Other (please specify): _____

G. Professional Knowledge, Competencies and Skills

Please check which professional knowledge, competencies or skills this CE activity aims to improve and explain briefly how:

- ☐ Acquisition and betterment of an integrated approach to the pursuit of the activities for which the representatives hold an authorization to practice;
- ☐ Acquisition and application of knowledge and analysis methods specific to the activities of representatives;
- ☐ Acquisition, comprehension and application of theoretical and technical knowledge in subjects pertaining to compliance with standards, ethics and business conduct.

H. Level of difficulty

- ☐ Beginner
- ☐ Intermediary
- ☐ Advanced

I. Number of Professional Development Units (PDU) sought

To be recognized and cross-listed, courses must be worth at least one PDU after deductions. If the duration of the training results in a PDU calculation that is not a whole number, it must be rounded down to the nearest whole number. Splitting a PDU is not permitted for asynchronous activities. Credits are to be assigned on a 1:1 basis. Please specify the PDU requested below:

General: _____

Mutual Funds: _____

Compliance with standards, ethics, and business conduct: _____

10. Declaration and signature

I, _____, as the person responsible for this course:

1. confirm that all information provided to the CIRO is true and complete.
2. acknowledge that the CIRO reserves the right to request additional information and documents in order to confirm application information, and agree to provide this information as requested in order for the CIRO to complete its review.
3. acknowledge and agree to provide the information and documents requested within twenty (20) business days; I understand that failure to provide the information within this timeline may result in the CIRO abandoning the application upon which we may have to file a new application in order to proceed further.
4. acknowledge and agree that fees are non-refundable and that there is no guarantee for either full or partial course accreditation.
5. acknowledge and agree to notify the CIRO of any material change(s) to any accredited course within twenty (20) business days. Material changes include changes to information provided in this application and to course content. I understand that this may result in the change to the accreditation and/or request a new application form.
6. acknowledge that we will retain the course materials for which accreditation is granted in accordance that with the applicable record retention requirements, and in any event for no less than three (3) years from the end of the cycle. We acknowledge and agree that the CIRO reserves the right to request further information, for its auditing purposes, for up to three (3) years after the end of the cycle and agree to provide the requested document for this purpose.
7. I consent to the collection, use and disclosure by you of information provided here to other service providers, including third party payment processors, solely for the purpose of providing the services. These service providers may send and process information outside of Canada, including to the United States. In such cases, the information may be subject to the laws of the countries to which it is sent.

Name, Title*: _____

Date: _____

Signature: _____

*Name and title of officer authorized to bind the Corporation/entity