



CIRO · OCRI

Canadian Investment
Regulatory
Organization

Organisme canadien
de réglementation
des investissements

INVESTMENT DEALER 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.

We assess applications using a flexible evaluation process to determine CE program suitability and credit hours. The process is adapted to reflect our commitment to ensure CE is relevant, with parameters determined using a principles-based approach.

Courses accredited under IDPC rules are also recognized under CIRO Mutual Fund Dealer (MFD) Rule 900 and may qualify for cross-listing. For details, please refer to Sections 2 and 8 of this form.

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 2 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](#)

[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. CERTS Cross-listing

Course providers can request to have their courses listed in the MFD CE Program’s CE Reporting and Tracking System (“CERTS”) by paying the appropriate fee and completing **Section 8** of this form. If you plan to cross-list but don’t yet have a CERTS provider account or admin access, 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 CERTS listing
Select “CE Accreditation – Application and CERTS 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 IROC 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.

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

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

Summative assessment

Identity verification

Attendance verification or registry

Participation tokens

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. 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