



CERTS – Member Administrator User Guide

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1 OVERVIEW

For the Continuing Education Record Tracking System (“CERTS”) the functionality and level of access a user has is defined by their role as either “Participant” (Approved Person), “Member Administrator” (Member staff delegated by the Member) or “Provider” (Non-Member CE Activity/Course Provider). This manual will cover the access and functionality available to a Member Administrator.

The Member has flexibility in the assignment of functions to Member Administrators. Please refer to the Member Guide on the MFDA website for further details on this and other aspects of administering the MFDA CE program.

2 USER LOGIN

Click on the **CE Login** link in the **Continuing Education** section of the [MFDA Website](https://mfda.ca/). You can also go directly to <https://crm.mfda.ca/>. You may wish to add this link to your browser Favorites list for future use. From the Login screen, enter your assigned **Login Name** and **Password** and click on the **Login** button.

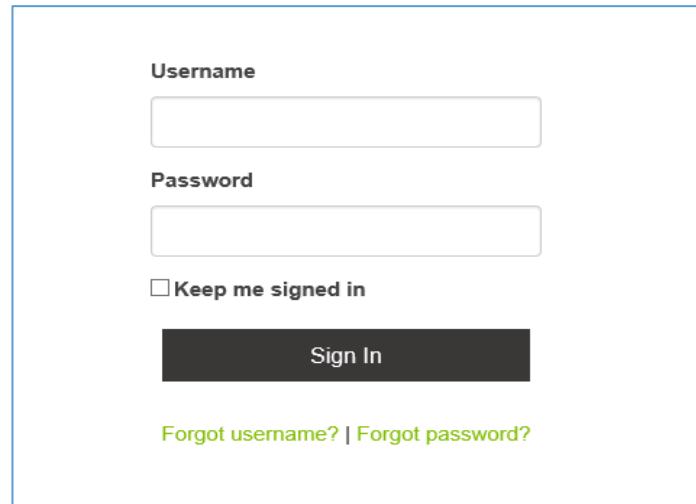
A screenshot of the CERTS login interface. It features a white background with a blue border. At the top, the text "Username" is displayed above a white input field. Below this, the text "Password" is displayed above another white input field. Under the password field, there is a checkbox followed by the text "Keep me signed in". A dark grey button with the text "Sign In" in white is positioned below the checkbox. At the bottom of the form, the text "Forgot username? | Forgot password?" is displayed in a green color.

Figure 1a: CERTS – Login

Upon initial login, there will be a pop-window that appears with the Terms and Conditions for MFDA CERTS. Please review the terms and select **Save and Continue** to proceed

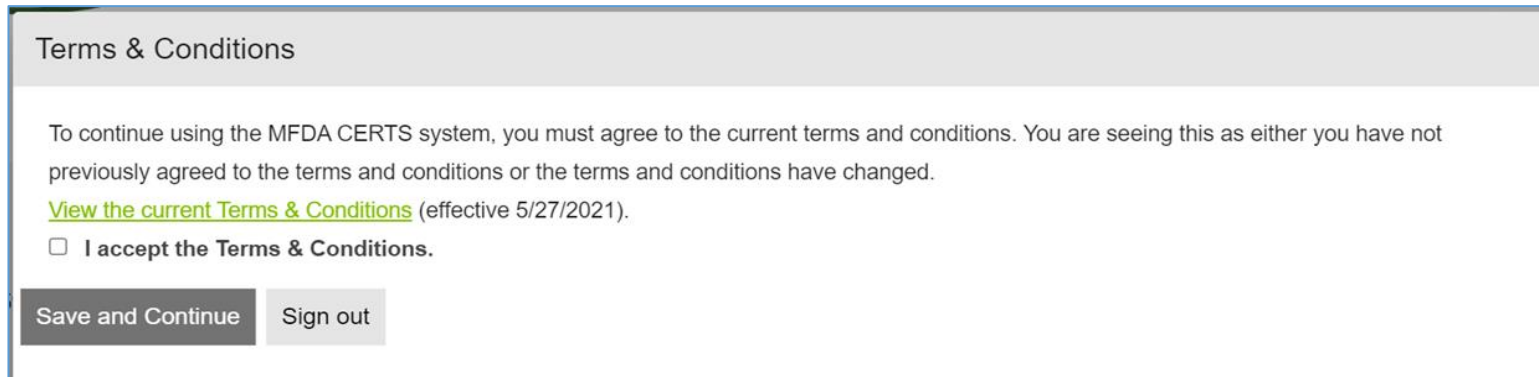
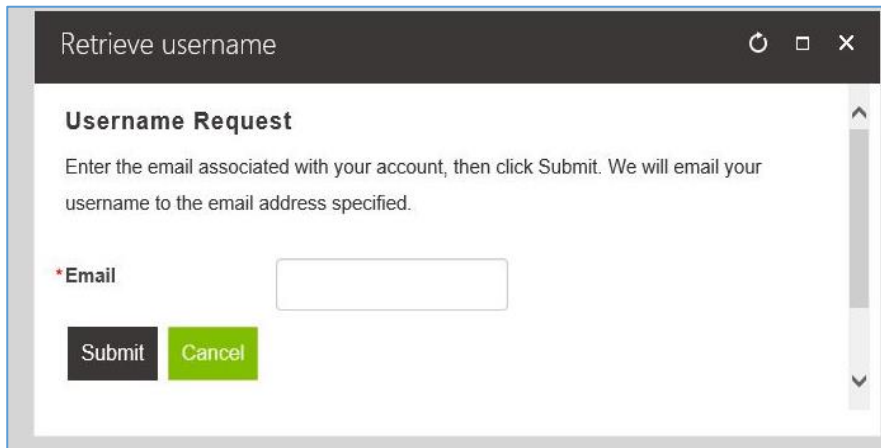
The image shows a pop-up window titled "Terms & Conditions". The text inside states: "To continue using the MFDA CERTS system, you must agree to the current terms and conditions. You are seeing this as either you have not previously agreed to the terms and conditions or the terms and conditions have changed." Below this text is a link: "[View the current Terms & Conditions](#) (effective 5/27/2021)." Under the link is a checkbox followed by the text "I accept the Terms & Conditions." At the bottom of the window are two buttons: "Save and Continue" (highlighted in dark grey) and "Sign out" (light grey).

Figure 1b: CERTS – Login

3 FORGOT USERNAME/PASSWORD?

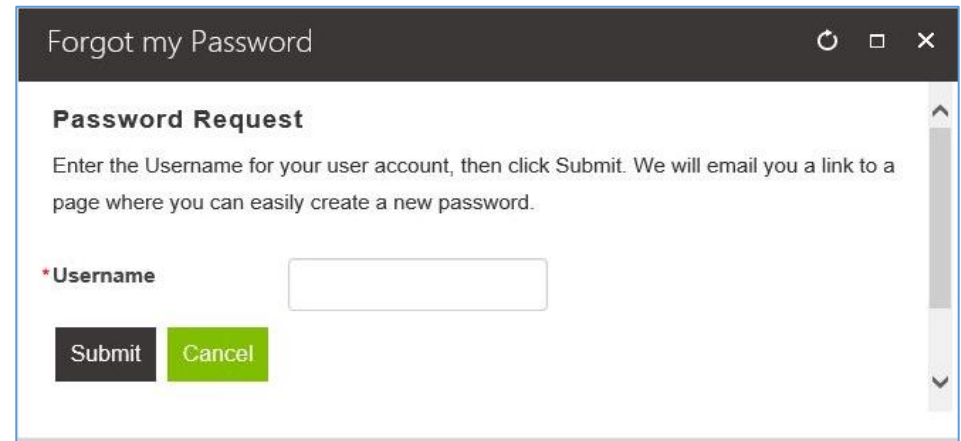
Use the **Forgot Username?** or **Forgot Password?** functions to retrieve your username or to reset your password.

To use the **Forgot Username?** function, select the link on the login screen. From the Retrieve Username Screen, enter the email address that is associated with the account (Figure 2a on next page). If the correct email address is entered, the username will be sent to associated email.



The screenshot shows a dialog box titled "Retrieve username" with a dark header bar containing a refresh icon, a maximize icon, and a close icon. The main content area has a title "Username Request" and a paragraph: "Enter the email associated with your account, then click Submit. We will email your username to the email address specified." Below this is a label "*Email" followed by a text input field. At the bottom are two buttons: "Submit" (dark grey) and "Cancel" (green).

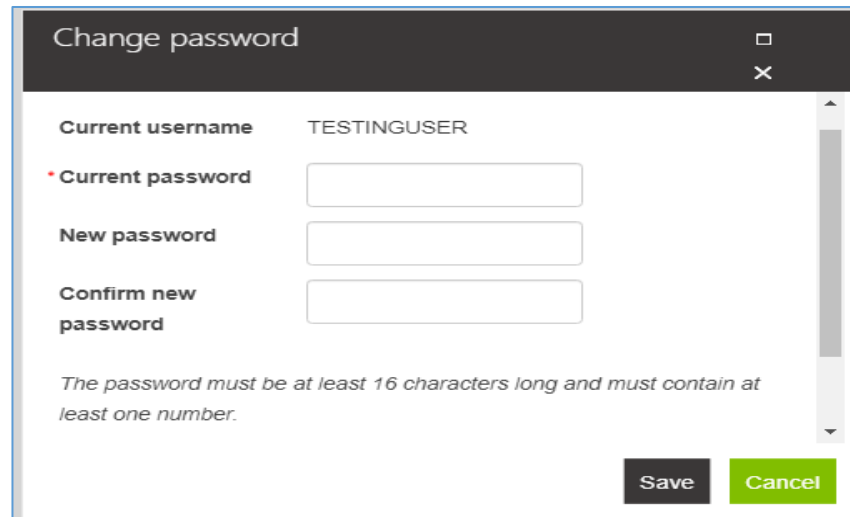
Figure 2a: Retrieve Username



The screenshot shows a dialog box titled "Forgot my Password" with a dark header bar containing a refresh icon, a maximize icon, and a close icon. The main content area has a title "Password Request" and a paragraph: "Enter the Username for your user account, then click Submit. We will email you a link to a page where you can easily create a new password." Below this is a label "*Username" followed by a text input field. At the bottom are two buttons: "Submit" (dark grey) and "Cancel" (green).

Figure 2b: Forgot my Password Feature

To use the **Forgot Password?** Function select the link on the login screen. From the Reset Password screen, enter your **Username** and click on the **Submit** button (Figure 2b). A password reset email will be sent to the email address associated with the account with a link that leads to the reset password webpage (Figure 2c on next page)



A screenshot of a 'Change password' dialog box. The dialog has a dark header bar with the title 'Change password' and standard window controls (minimize, maximize, close). The main content area is white and contains the following fields and text:

- Current username**: TESTINGUSER
- * Current password**: A text input field with a red asterisk indicating it is required.
- New password**: A text input field.
- Confirm new password**: A text input field.
- The password must be at least 16 characters long and must contain at least one number.*
- Save**: A dark button.
- Cancel**: A green button.

A vertical scrollbar is visible on the right side of the dialog box.

Figure 2c: Reset Password Feature

4 CERTS USER ACCOUNT TYPES AND ROLES

4.1 User Account Types

The CERTS system has 3 user account types: Participant, Member Administrator and Provider.

See the **Member Guide** on the Continuing Education page of the MFDA Website for further details on how the Participant and Member Administrator User accounts are created

4.2 User Roles

Refer to the Figure 3 on the next page for the list of main roles available to each CERTS user account types. Please note that such roles are further restricted based on the user account type. As such:

- Participants can only undertake the roles denoted in the table for themselves,
- Member Administrators can only undertake the roles denoted in the table for their own participants and CE activities,
- Providers can only undertake the roles denoted in the table for their own CE activities.

Function	CERTS User Roles		
	Participant	Member Admin	Provider
Add New CE Activities in CE Course Catalogue		•	•
Report CE Activity Attendance ¹	•	•	•
Revise and Renew CE Activities		•	•
Submit Credit Reduction Report for Leaves of Absence		•	
View Participant CE Details Summary ²	•	•	
View CERTS Course Catalogue ³	•	•	•
Enter/Edit Participant primary email address		•	
Enter/Edit Participant secondary email address	•		

1. Participants can only report CE Activity attendance for themselves and must provide a completion certificate with their submission. Please note that Members may restrict the ability of Participants to report their own CE Activity Attendance if the Member is undertaking such entry of all CE activity attendance behalf of the Participants.
2. Participants can only view their own CE Details Summary.
3. Providers will only be able to view and report on their own CE Activities in the CERTS Course Catalogue. Participants and Member Administrators will be able to view and report on all CE Activities in the Course Catalogue.

Figure 3 - CERTS User Roles

5 DASHBOARD

The Dashboard is the main landing page for CERTS and can be used to access all functions. There are four tabs at the top of the page representing different functions. The Participants tab is used to search for active participants. The Course Catalogue tab is used to search for courses and/or activities. The Submissions tabs is used to review previously submitted forms or to access previously saved forms that have not yet been submitted.

The menu on the right hand side gives access to all Actions within CERTS, while the menu on the left hand side is used for account management (such as changing password). The centre of the Dashboard gives a quick visual representation as to the progress of the Member's Participants in fulfilling their CE requirement.

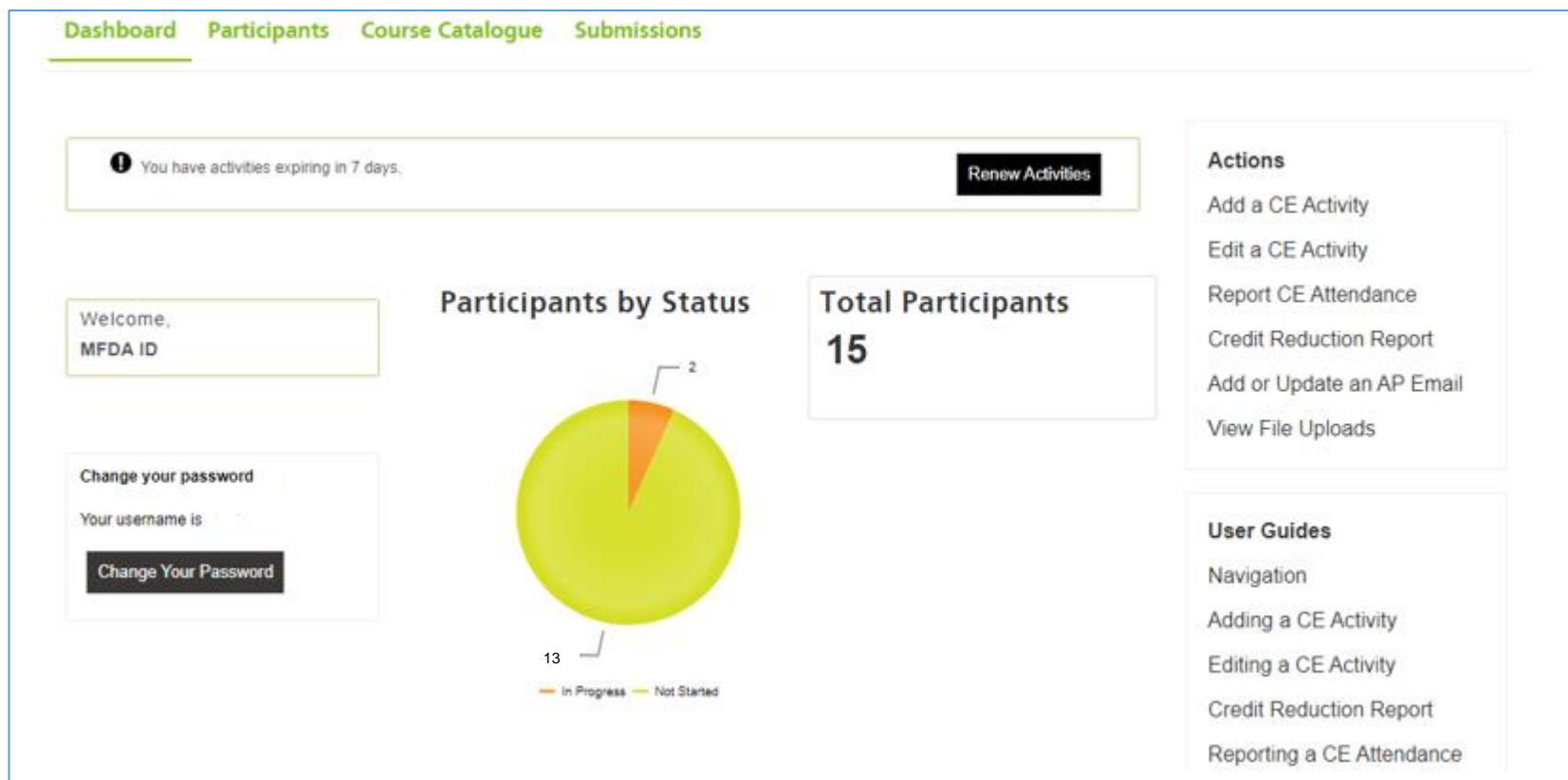


Figure 4: CERTS- Dashboard

6 MANAGING USERS

6.1 Search Participant Users

Member Administrator users have the ability to view the profile of their Participants registered with their firm. To search for a Participant, select “Participants” in the top menu bar. Enter your search criteria and select “Find”. Search results will appear below based on your search criteria. Select “Click for Profile” in the row of the desired Participant (Figure 5a).

NRD#	Participant	Firm	Location	Participant Profile
	CARTER, SILVIA	Testing Location 2	999 Main St Calgary, AB T2A1A1 CANADA	Click for Profile

Figure 5a: CERTS- Search Participants function

A pop-up window will appear with the view of the selected Participant's profile (Figure 5b). The Member's administrator will be able to report an activity on behalf of the Participant.

The screenshot shows a dark grey header bar with window control icons (refresh, maximize, close) on the right. Below the header, the name "Silvia Carter" is displayed on the left, and a button labeled "Report a CE Activity" is on the right. A horizontal tab bar contains three tabs: "Contact Details" (which is selected and highlighted with a green underline), "CE Details", and "My Applications". Below the tabs, the "Contact Details" section is visible, showing a "Primary Email" field with the value "@mfda.ca" and a "Secondary Email" field which is currently empty.

Figure 5b: CERTS- Participant pop-up window

6.2 Updating Participant Email Addresses

The Member will need to update the primary email address of each participant to ensure that an accurate email is associate with the participant's user account.

The screenshot shows a web application interface for managing a participant's email. At the top, there is a dark header bar with a refresh icon, a close icon, and a maximize icon. Below the header, the participant's name "Silvia Carter" is displayed on the left, and a "Report a CE Activity" button is on the right. A horizontal tab bar contains three tabs: "Contact Details" (which is selected and highlighted with a green underline), "CE Details", and "My Applications". Below the tabs, there is a form area with two columns. The left column is labeled "Primary Email" and contains the text "mfda.ca" in green. The right column is labeled "Secondary Email" and is currently empty.

Figure 5c: CERTS- Participant Email

To add or update an email address, select “Add or Update an AP Email” option on the menu on the right-hand side of the screen (Figure 5d).

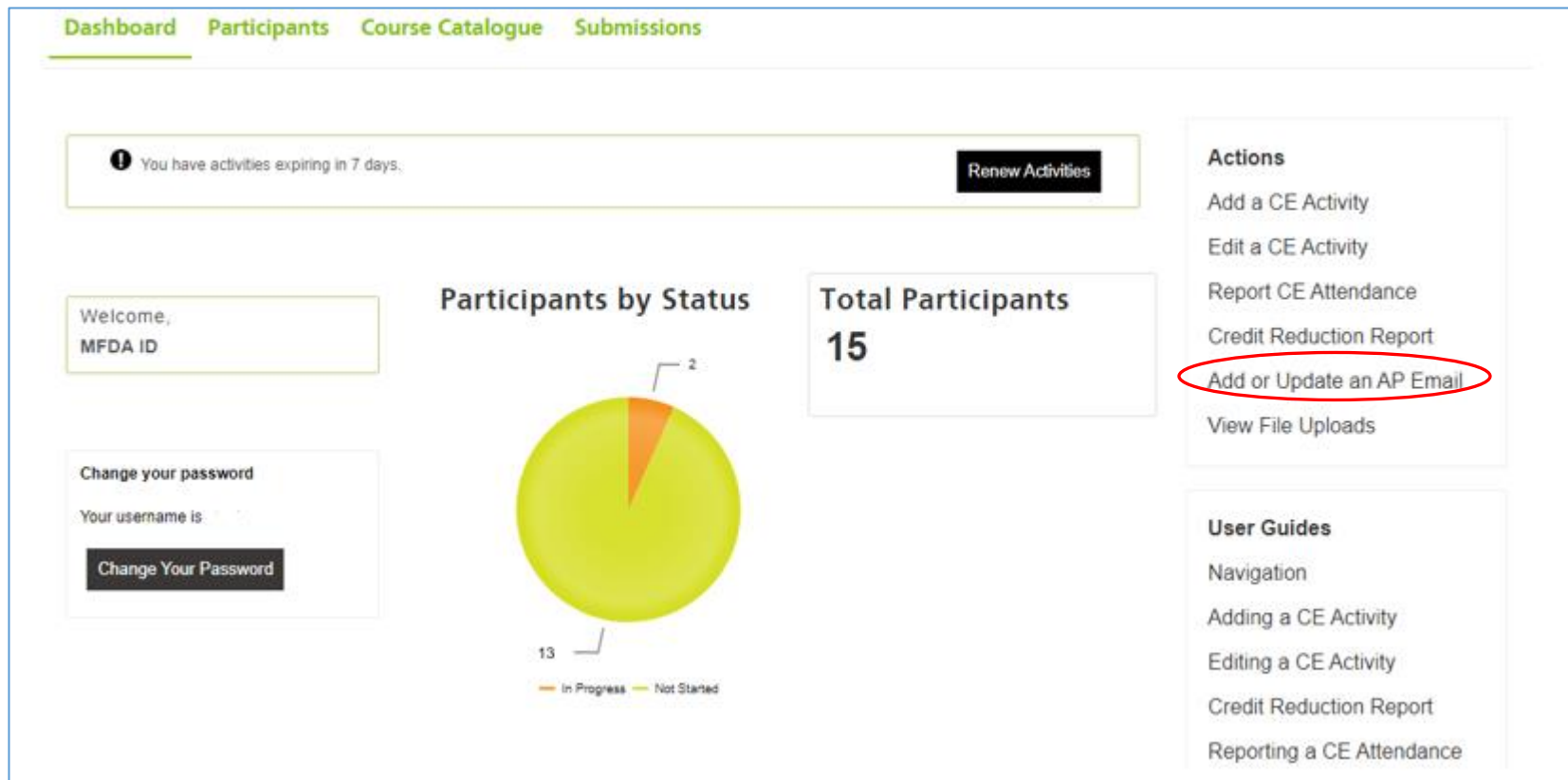
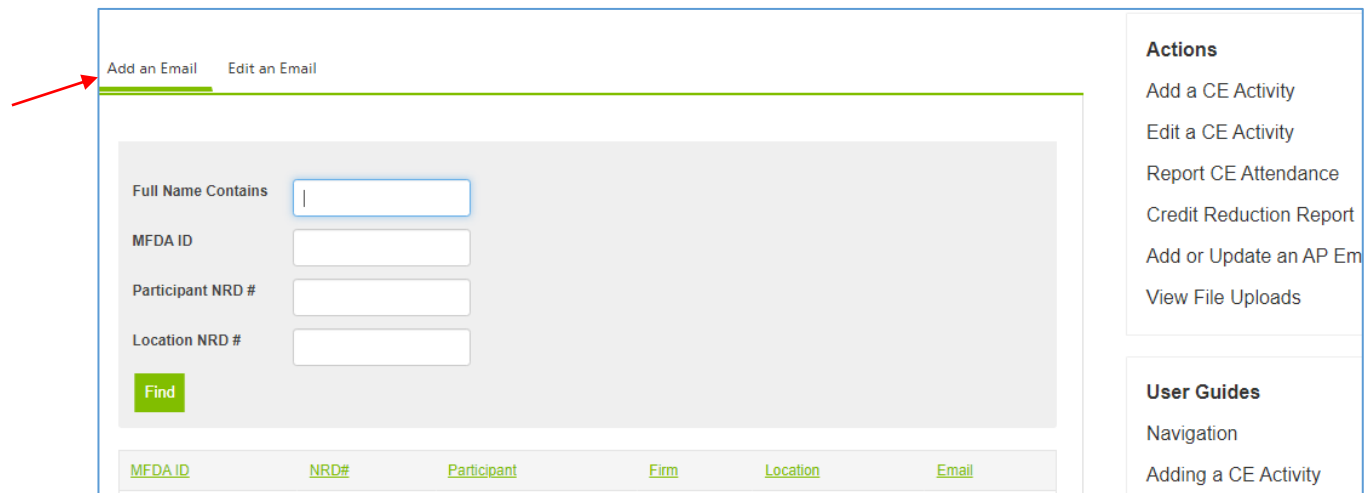


Figure 5d: CERTS- Add an AP Email

Enter the search criteria for the new Participant and select the “Add Email” link on the row of that Participant (Figure 5e). Enter the Participant’s email and select “Save”. The Participant will no longer be searchable under the Add Email list (Figure 5e).



The screenshot displays the 'CERTS - Add an Email' interface. At the top, there are two tabs: 'Add an Email' (highlighted with a red arrow) and 'Edit an Email'. Below the tabs is a search area with four input fields: 'Full Name Contains', 'MFDA ID', 'Participant NRD #', and 'Location NRD #'. A green 'Find' button is located below these fields. At the bottom of the search area, there is a table with the following columns: 'MFDA ID', 'NRD#', 'Participant', 'Firm', 'Location', and 'Email'. On the right side of the interface, there are two sections: 'Actions' and 'User Guides'. The 'Actions' section includes links for 'Add a CE Activity', 'Edit a CE Activity', 'Report CE Attendance', 'Credit Reduction Report', 'Add or Update an AP Em', and 'View File Uploads'. The 'User Guides' section includes links for 'Navigation' and 'Adding a CE Activity'.

Figure 5e: CERTS - Add an Email

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To edit/update a Participant's primary email, select the "Edit Email" tab (Figure 5f). Enter the search criteria for the specific Participant and select the email address on the row of that Participant. Update the Participant's email and select "Submit" (Figure 5g on the next page).

Add an Email Edit an Email

Full Name Contains

MFDA ID

Participant NRD #

Location NRD #

Email Contains

Find

Export ▾

MFDA ID	NRD#	Participant	Firm	Location	Click Email to Update
78205	2709467	BURK, CHARLES	MFDA Testing Member Inc.	224 Main Street Glencoe, ON N0L 1M0 CANADA	charlesburk@testmember.ca

Figure 5f: CERTS – Edit an Email



Participant Name

CHARLES BURK

Email *

charlesburk@testmember.ca

Cancel Submit

Figure 5g: CERTS – Edit an Email

6.3 Secondary Emails for Participants

To ensure that the CERTS system can continue to communicate with Participant user even when the Participant is not registered with a Member, Participant users will need to enter a secondary email to their profiles. This action can only be done by a Participant user. To add or update this secondary email, the Participant must select “Change Secondary Email” in their user account (Figure 6a on the next page).

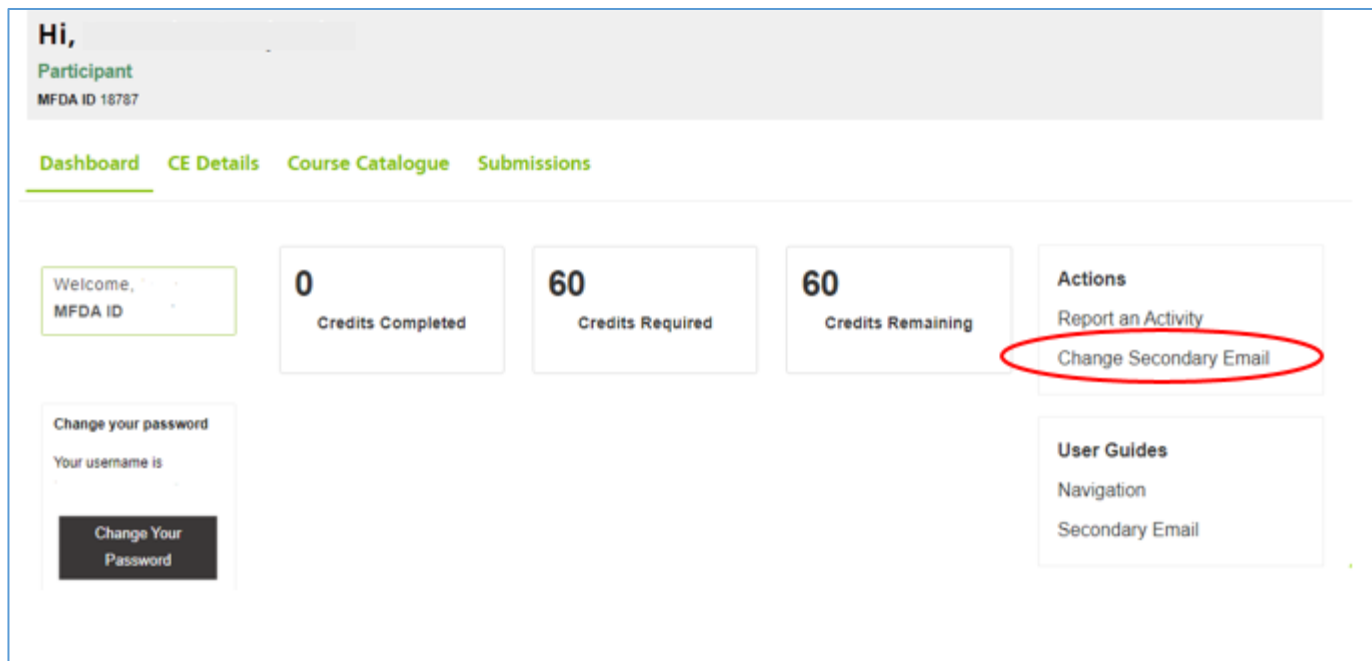


Figure 6a: CERTS- Change Secondary Email

Select the edit pencil icon on the screen and the screen and the secondary email field will become editable. Enter/Update the secondary email and click "Save" (Figure 6b)

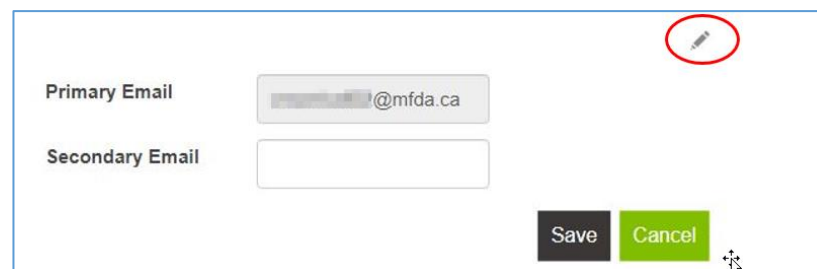


Figure 6b: CERTS- Change Secondary Email

7 CE ACTIVITY

In order to report CE Activity Attendance, the CE Activity must first be added to the CE Course Catalogue. Member Administrators and Providers can add CE Activities to the CE Course Catalogue.

7.1 Search Course Catalogue

Select the Course Catalogue tab from the Dashboard to search for any course or activity. Enter the applicable criteria in the search field and select **Find** to generate the results (Figure 7a). Select **Click for Details** to view more information about the course/activity including Activity Details, Credit Information and Accreditation Information (Figure 7b on the next page).

Dashboard **Participants** **Course Catalogue** **Submissions**

Continuing Education Activities

Activity Name

MFDA Activity Number

Provider Activity Number

Find

Activity No	Name	Description	More Information
1000000125	Introduction to Mutual Funds	Introduction to Mutual Funds	Click for Details

Figure 7a: CERTS- Search Course Catalogue

Continuing Education Activity

Activity Name	Description
Introduction to Mutual Funds	Introduction to Mutual Funds

Activity Information

MFDA No	Activity No	Available To	Subject
1000000125	2021	Participants registered with, or designated by, a Member	Products

Credit Details

Category	Credit Amount	Maximum Credits
Professional Development	3	0

Accreditation

Accredited By	Accreditation Number	Accredited On	Accredited Until
Testing Member Inc.	899	Jun 01, 2021	Aug 31, 2021

Figure 7b: CERTS- CE Activity Details

7.2 Add a CE Activity

The 'Add a CE Activity' function can be used to add CE activities to the CE catalogue. Use this form to add a description of the activity, accreditation details and credit information. Select the **Add CE Activity** option to add a new activity on the right hand menu (Figure 8a). This will open the Add CE Activity form in a separate window.

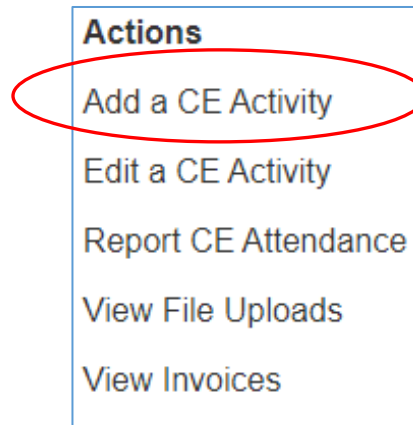
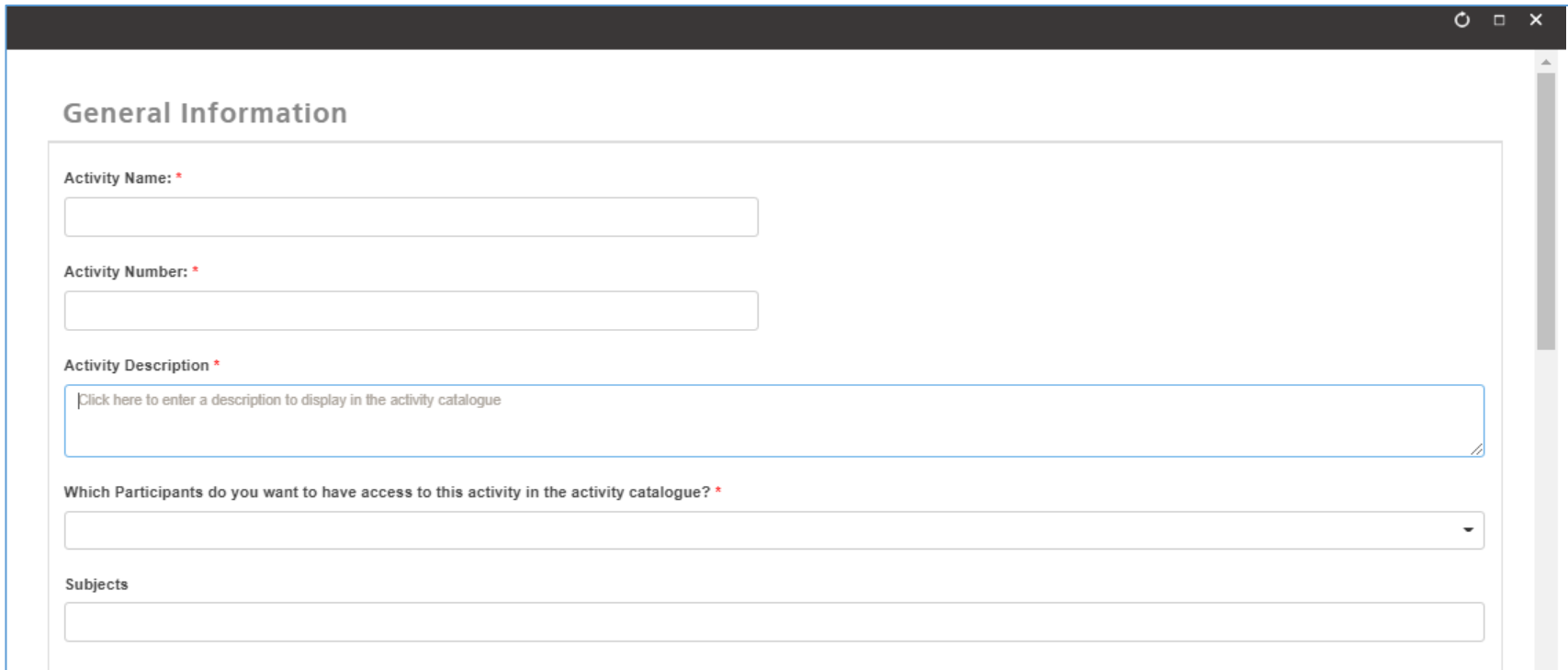


Figure 8a: CERTS- Add a CE Activity

Begin filling out the form (Figure 8b). All fields marked with red asterisks are mandatory. The Activity Number is the reference number that a Member or Provider may use internally. It is not mandatory. The CERTS system will auto-generate a Course reference number that should be noted by the Member for future reference.

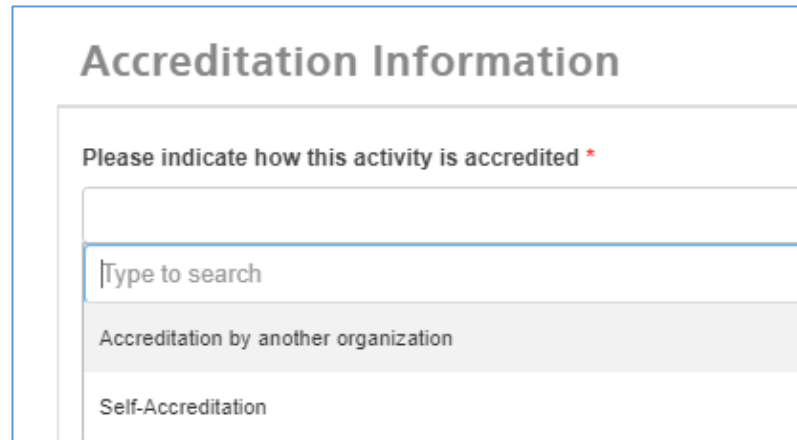


The screenshot shows a web browser window with a form titled "General Information". The form contains the following fields:

- Activity Name: ***: A text input field.
- Activity Number: ***: A text input field.
- Activity Description ***: A large text area with a placeholder text "Click here to enter a description to display in the activity catalogue".
- Which Participants do you want to have access to this activity in the activity catalogue? ***: A dropdown menu.
- Subjects**: A text input field.

Figure 8b: CERTS- Add a CE Activity

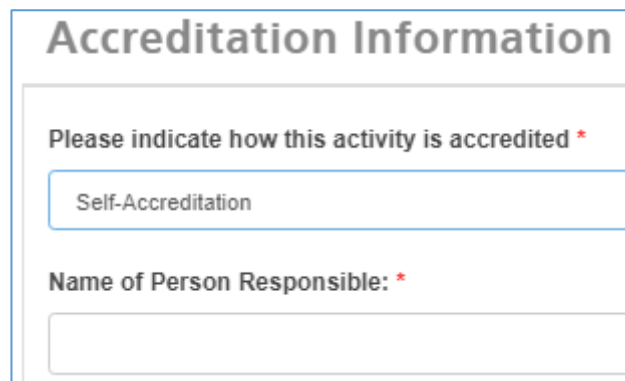
Under the “Accreditation Information” section, Member administrators will have the option to choose to select their courses as “Self-Accreditation”, or “Accredited by another organization” (Figure 9a).



The screenshot shows a form titled "Accreditation Information". Below the title is a label "Please indicate how this activity is accredited *". There is a search bar with the placeholder text "Type to search". Below the search bar are two radio button options: "Accreditation by another organization" and "Self-Accreditation". The "Self-Accreditation" option is currently selected.

Figure 9a- CERTS – Accreditation reporting

If the Member chooses Self-Accreditation, they must provide the name of the person responsible for the accreditation (Figure 9b).



The screenshot shows the same "Accreditation Information" form. The "Self-Accreditation" radio button is selected. Below the radio buttons is a label "Name of Person Responsible: *". There is a text input field below the label.

Figure 9b: CERTS – Accreditation reporting

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If the Member chooses “Accredited by another organization”, the Member Administrator must select from the list of recognized accrediting organizations, provide accreditation number and upload a copy of the accreditation certificate (Figure 9c).

Accreditation Information

Please indicate how this activity is accredited *

Accreditation by another organization x ▼

Please select the accrediting organization *

Accreditation Number

Please attach a copy of the accreditation certificate: *

File Name	Size
Drop files to attach, or browse	

Issued From *

yyyy-MM-dd

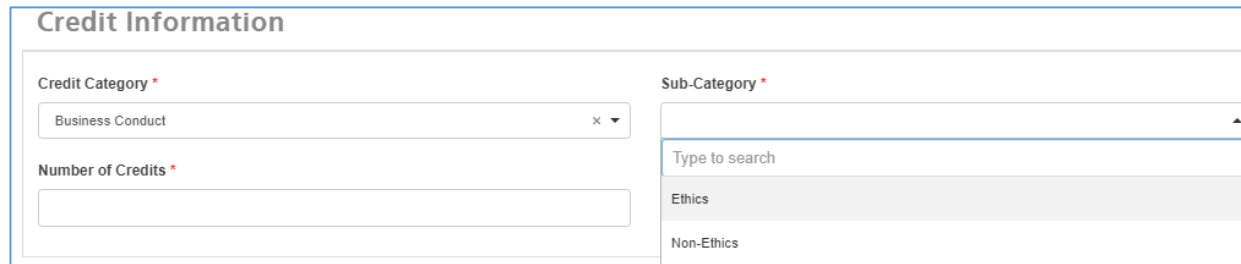
Issued To *

yyyy-MM-dd

Figure 9c: CERTS – Accreditation reporting

To report on the number of credits that an activity is worth, select the **Add Credit** button and the below window will appear:

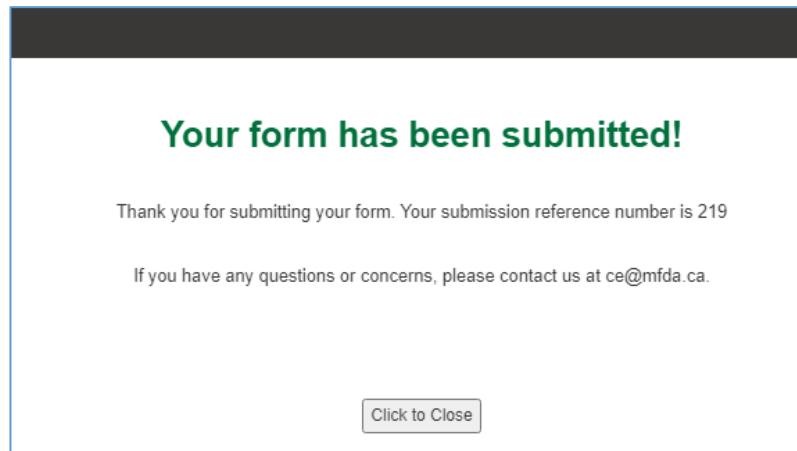
Two types of credit categories will appear in the dropdown: (1) **Business Conduct** and, (2) **Professional Development**. If Business Conduct is selected, a new dropdown function will appear, and the user must select either “Ethics” or “Non-Ethics” (Figure 10). Enter the credit value in the “Number of Credits” field and select “Submit”. The system will take you back to the main CE Activity form. To add another credit category to the same activity, select the “Add Credit” again and repeat the steps.



The screenshot shows a form titled "Credit Information". It contains two main sections. The first section has a "Credit Category *" dropdown menu with "Business Conduct" selected, and a "Sub-Category *" dropdown menu with a search bar "Type to search" and two options: "Ethics" and "Non-Ethics". The second section has a "Number of Credits *" text input field.

Figure 10: CERTS – Credit Information

When all of the required fields in the form are accurately completed, and the user agreement has been affirmed, the user can click the **Submit** button. The user will receive a confirmation message in the form window and the user may now exit the window (Figure 11).



The screenshot shows a confirmation message in a form window. The message reads: "Your form has been submitted!" in green text. Below this, it says "Thank you for submitting your form. Your submission reference number is 219". Further down, it says "If you have any questions or concerns, please contact us at ce@mfd.ca.". At the bottom, there is a button labeled "Click to Close".

Figure 11: CERTS: Form Successfully Submitted

7.3 Edit a CE Activity

The 'Edit a CE Activity' function can be used to make any material or non-material changes to any course or CE activities that currently exist in the CE catalogue. This form can also be used to make any necessary error corrections. To make changes to an activity, first click on the **Edit an Activity** link on the Dashboard (Figure 12a). Enter the applicable search criteria and click on **Find** to view results. Select **Revision** next to the activity that requires editing (Figure 12b on the next page).

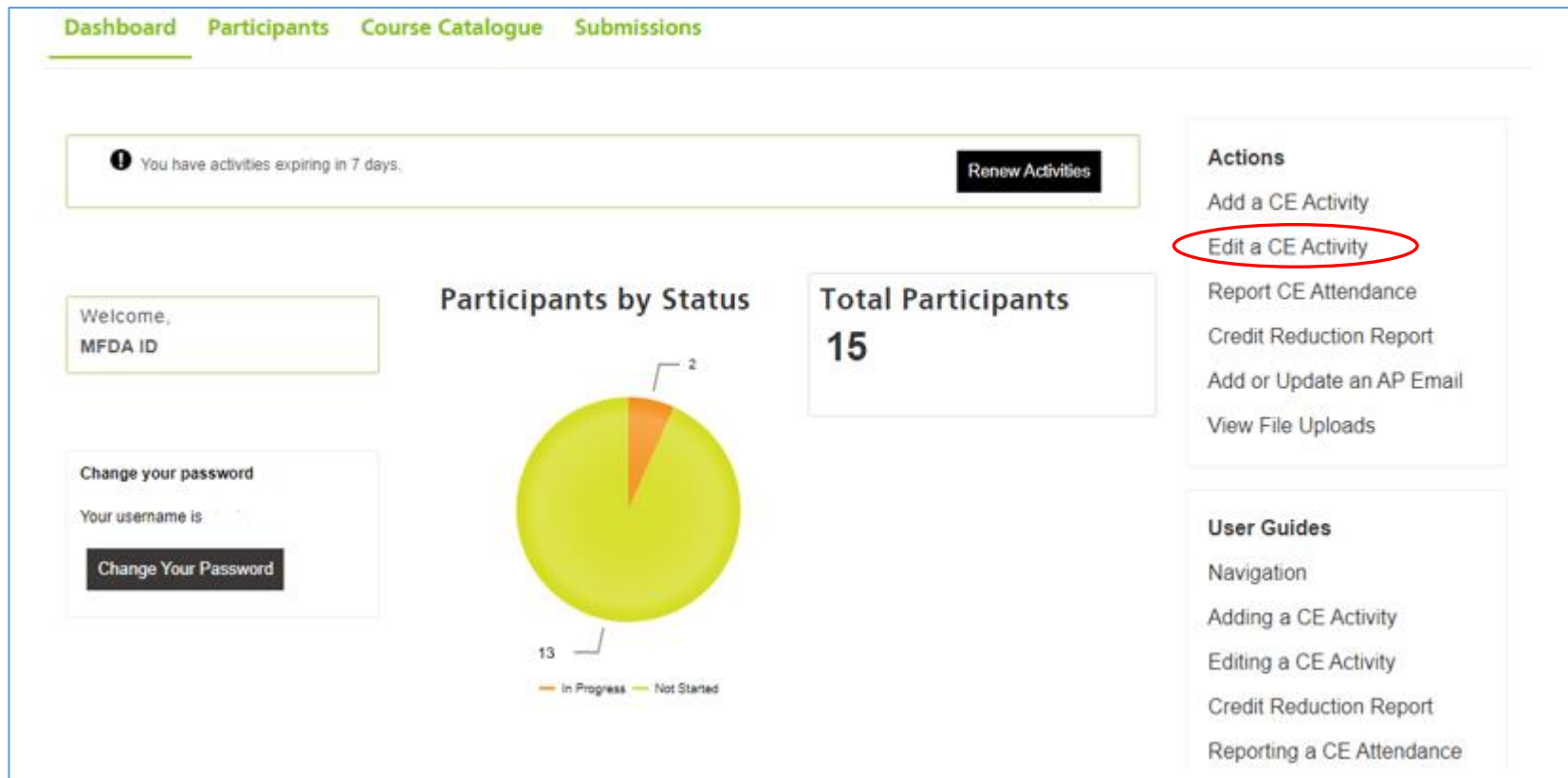


Figure 12a: CERTS – Edit an Activity

Activity Name

MFDA Activity Number

Provider Activity Number

[Find](#)

Activity No	Name	Description	Accred No	Start Dt	End Dt	Click to Revise
1000000125	Introduction to Mutual Funds	Introduction to Mutual Funds	899	6/1/2021	8/31/2021	Revision

Figure 12b: CERTS – Edit an Activity

The revision form will open in a separate pop-up window (Figure 12c). A material change is classified as a significant change that would alter the existing framework of the course/CE activity. This includes changes to the CE categories, reducing the duration or reducing the credits in any CE category. A non-material change is classified as a change that does not significantly alter the framework of the course/CE activity. This includes changes to activity name, number or description, or changes to participant visibility.

Continuing Education Activity Revisions

Activity Provided By	Activity Name	Activity Number
<input type="text"/>	<input type="text" value="Introduction to Mutual Funds"/>	<input type="text" value="20210303"/>

Below is a list of material changes, and non-material changes, which can be made to the activity. Using the check boxes, please select all aspects of the activity that you wish to revise.

MATERIAL CHANGES:

- Whenever there is a change in the CE activity that would result in:
 - CE categories (Professional Development or Business Conduct (including Ethics)) no longer having credits,
 - Reducing duration (overall credits), and/or
 - Reducing credits in any CE category,details of these changes must be provided in the form below
- Such material changes reported must be accompanied by new accreditation
- Removal of testing, change in format and change in delivery method, where these result in the removal or reductions noted above, must be reported along with the removals or reductions.
- Whenever there is a change to a CE activity that may result in adding CE categories, adding to the number of credits in any CE category or adding to subjects previously reported and you want these additions recognized on CERTS, the activity must be reaccredited and the changes reported as material changes. Otherwise, do not report these additions.

NON-MATERIAL CHANGES:

If you wish to revise who can see the CE Activity (Participant Availability), the CE Activity description, the name of the CE Activity or your own internal activity number, do so on the form below.

Figure 12c: CERTS - Edit a CE Activity

Select all of the applicable boxes of the material and/or non-material changes to be made. (Figure 12d).

Material Change(s) ⓘ *	Non-material change(s) ⓘ *
<input type="checkbox"/> Changes to: CE category, including number of credits (duration) and/or CE content, including subjects	<input type="checkbox"/> Participant visibility
<input type="checkbox"/> Testing removed (affects duration or credits)	<input type="checkbox"/> CE Activity description, name and/or internal activity number
<input type="checkbox"/> Format (affects duration or credits)	<input type="checkbox"/> No non-material changes
<input type="checkbox"/> Delivery method (affects duration or credits)	
<input type="checkbox"/> No material changes	

Figure 12d: CERTS – Edit an Activity

7.3.1 Material Change

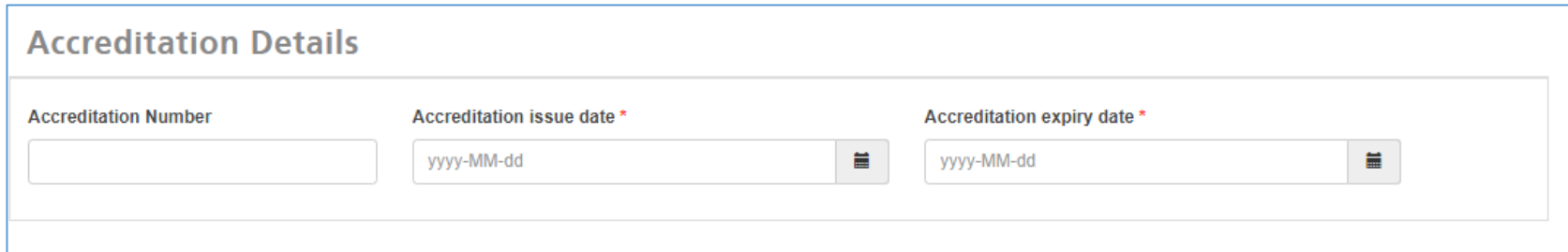
Once a material change is selected, the corresponding boxes will appear to make the changes (Figure 12e).

Current Credit Categories		
Current Professional Development Credits	Current Business Conduct Ethic Credits	Current BC Non-Ethics Credits
<input type="text" value="0"/>	<input type="text" value="0.5"/>	<input type="text" value="0"/>

Credit Categories		
<input type="button" value="Add Credits"/>		
Total Professional Development Credits	Total Business Conduct Credits	Overall Activity Credits
<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>

Figure 12e: CERTS – Edit an Activity

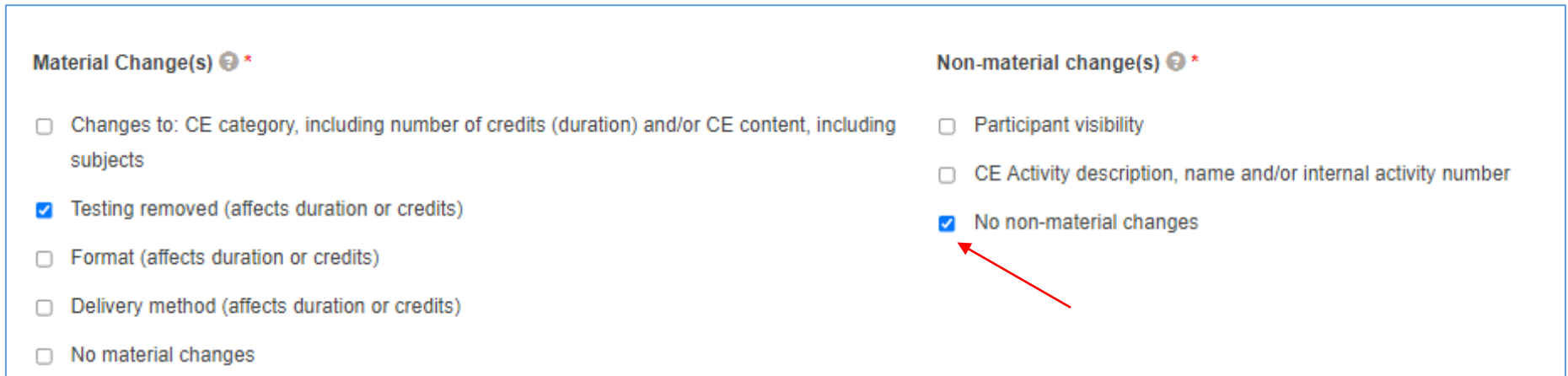
Once completed, the user will click the submit button. The user will be prompted back to the original window to which they will need to fill in the “Accreditation Issue Date” and “Accreditation Expiry Date” (Figure 12f).



The screenshot shows a form titled "Accreditation Details". It contains three input fields: "Accreditation Number" (a text box), "Accreditation issue date *" (a date picker showing "yyyy-MM-dd"), and "Accreditation expiry date *" (a date picker showing "yyyy-MM-dd"). Each date picker has a small calendar icon to its right.

Figure 12f: CERTS – Accreditation Details

Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form.
***Note: The “No non-material changes” check box must be selected to submit the form.



The screenshot shows a form titled "Continuing Education Activity Revisions". It is divided into two columns. The left column is titled "Material Change(s) ? *" and contains five checkboxes: "Changes to: CE category, including number of credits (duration) and/or CE content, including subjects", "Testing removed (affects duration or credits)" (which is checked), "Format (affects duration or credits)", "Delivery method (affects duration or credits)", and "No material changes". The right column is titled "Non-material change(s) ? *" and contains three checkboxes: "Participant visibility", "CE Activity description, name and/or internal activity number", and "No non-material changes" (which is checked). A red arrow points to the "No non-material changes" checkbox.

Figure 12g: CERTS – Continuing Education Activity Revisions

After making necessary changes, click **Submit**. Once submitted successfully, a new window will open showing successful completion:

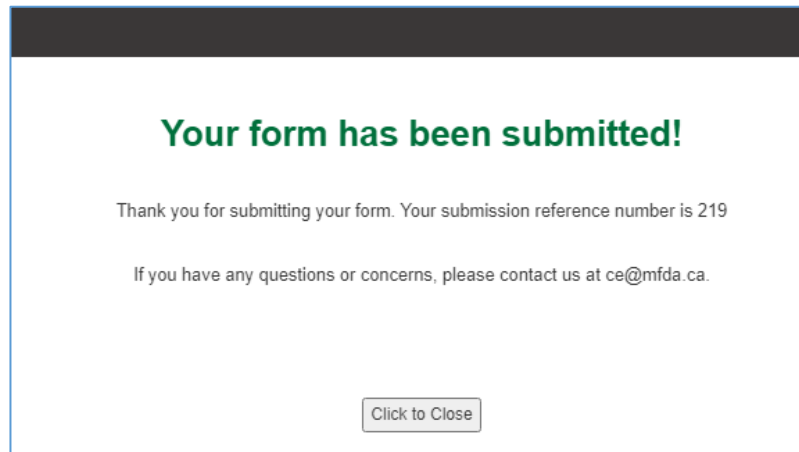


Figure 12h: CERTS – Form Submitted Successfully

7.3.2 Non-Material Change - Changes to Activity Name, Number or Description:

A screenshot of a web form titled "Continuing Education Activity & Number". The form is divided into two main sections. The first section, "Continuing Education Activity & Number", contains two input fields: "Activity Name: *" with the text "Introduction to Mutual Funds" and "Activity Number:" with the text "20210303". The second section, "Continuing Education Activity Description", contains a large text area with the text "Introduction to Mutual Funds" and a red asterisk icon in the bottom right corner. The form has a light blue border.

Figure 12i: CERTS – Continuing Education Activity Name, Number or Description

The user will input the new Activity Number/Activity Name/Description

Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form.

***Note: The “No material changes” check box must be selected to submit the form:

Material Change(s) ? *

- ☐ Changes to: CE category, including number of credits (duration) and/or CE content, including subjects
- ☐ Testing removed (affects duration or credits)
- ☐ Format (affects duration or credits)
- ☐ Delivery method (affects duration or credits)
- ☒ No material changes

Non-material change(s) ? *

- ☐ Participant visibility
- ☒ CE Activity description, name and/or internal activity number
- ☐ No non-material changes

Figure 12j: CERTS – Continuing Education Activity Revisions

Once submitted successfully, a new window will open showing successful completion.

7.3.3 Non- Material Change - Changes to Participant Visibility:

The user will select from the drop down menu of the “Activity Visibility” bar:

Activity Visibility

Which Participants should have access to this activity in the course catalogue? *

None - Do not display in the Course Catalogue

Type to search

Display this activity to all Participants

Display to MFDA Participants registered with, or designated by, a Member

None - Do not display in the Course Catalogue

Figure 12q: CERTS – Activity Visibility

Once completed, the user will need to agree to the conditions by checking the User Agreement check box. The user then can submit the form.

***Note: The material changes check box must be selected to submit the form.

Once submitted successfully, a new window will open showing successful completion.

Completed submissions can be verified by clicking on the **Submissions** link from the top of the Dashboard. To review the form submitted, click on the **View Application** link (Figure 13).

Dashboard

Participants

Course Catalogue

Submissions

1

2

Page:

1

 of 2

Go

Page size:

20

Change

Item 1 to 20 of 39

Show all 39

Application Date	Application Category	Action	Application Status	Submitted By
Feb 18, 2021	New Activity Form	View Application	Approved	
Feb 21, 2021	Activity Revision Form	View Application	Started	
Feb 21, 2021	Activity Revision Form	View Application	Approved	

Figure 13: CERTS – List of Submissions

7.4 Renew an Activity

The 'Renew an Activity' function is only used to renew an expiring activity and to add new accreditation details where there are no changes to the underlying CE activity. If any other changes are to be made to the activity (e.g. credit category, subject, etc.), please use the “Edit a CE Activity” Form.

To renew an expiring activity, click on the Renew Activities link on the Dashboard (Figure 14a). Note: A renewal notification with a link will begin appearing 30 days before the expiration date until the activity is renewed.

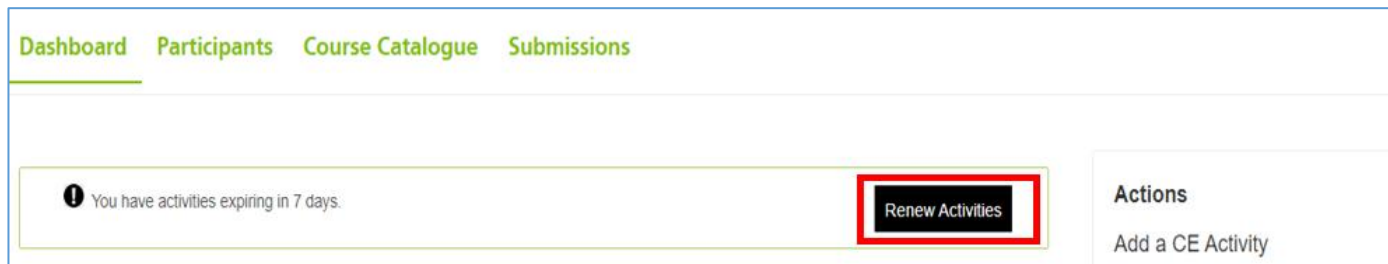


Figure 14a: CERTS - Renew an Activity

The renewal form will open in a separate pop-up window. Find the activity to be renewed as select the **Yes** radio button and enter in the new Accreditation details (Accreditation number and Issue Date (Figure 14b on the next page). If the activity does not need to be renewed, select the **No** radio button. Once completed, click **Submit**.

Renewal Form

Please select the activity(ies) you wish to renew

Renew Activity <input checked="" type="radio"/> Yes <input type="radio"/> No	Introduction to Mutual Funds	Member/Provider Activity Code 2021	Accreditation No. 899
		Expiry Date 2021-08-31	Issued From * 2021-06-18
			Issued To * 2021-10-31

Figure 14b: CERTS - Renew an Activity

Once submitted successfully, a new window will open showing successful completion (Figure 14c).

Your form has been submitted!

Thank you for submitting your form. Your submission reference number is 219

If you have any questions or concerns, please contact us at ce@mfd.ca.

[Click to Close](#)

Figure 14c: CERTS – Form Successfully Submitted

Completed submissions can be verified by clicking on the **Submissions** link from the top of the Dashboard. To review the form submitted, click on the **View Application** link (Figure 14d).

[Dashboard](#)

[Participants](#)

[Course Catalogue](#)

[Submissions](#)

Application Date	Application Category	Action	Application Status	Submitted By
Jun 16, 2021	New Activity Form	View Application	Approved	Testing Member Inc.
Jun 18, 2021	Activity Renewal Form	View Application	Approved	Testing Member Inc.

Figure 14d: CERTS - Renew an Activity

8 REPORTING CE ATTENDANCE

The 'Report CE Attendance' function can be used to report attendance for participants who have taken a course/activity. Select the **Report CE Attendance** option from the Dashboard to report attendance for Participants in the organization (Figure 15a).

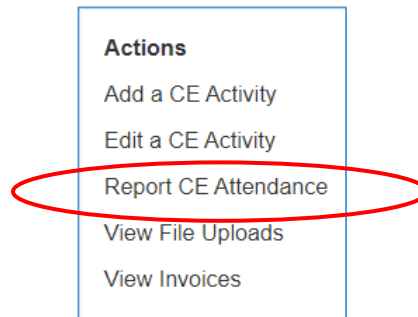


Figure 15a: CERTS - Report CE Attendance

The Member Administrator will have the option to search for the Participant for which they wish to report attendance to a CE activity (See 15b below). It is also possible to search for a Participant using their Name, unique MFDA ID or Location NRD#. Enter search criteria and select "Find" (Figure 15b).

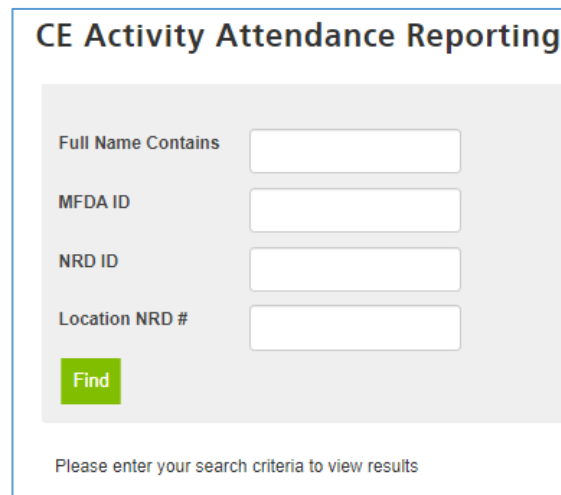
A screenshot of a web form titled 'CE Activity Attendance Reporting'. The form contains four input fields with labels: 'Full Name Contains', 'MFDA ID', 'NRD ID', and 'Location NRD #'. Below these fields is a green button labeled 'Find'. At the bottom of the form, there is a text prompt: 'Please enter your search criteria to view results'.

Figure 15b: CERTS - Report CE Attendance

Select **Report Activity** of the applicable Participant from the search results (Figure 15c).

MFDA ID	NRD#	Participant	Firm	Attendance Reporting
78205	2709467	CHARLES BURK	MFDA Testing Member Inc.	Report Activity

Figure 15c: CERTS - Report CE Attendance

The **CE Activity Attendance Reporting Form** will appear in a pop-up window and the Participant's name will be pre-populated in the display box to confirm their profile (Figure 15d).

CE Activity Attendance Reporting Form

Selected Participant

CHARLES BURK

Figure 15d: CERTS - Report CE Attendance

Search for the Activity Title by typing in the name of the applicable course. The system will search the Course Catalogue for the appropriate course. Once found, select the course. Enter the date the CE Activity was completed (Figure 15e on next page).

The screenshot shows a web form titled "Add Completed Activities". It contains the following elements:

- Activity Item** section with a required "Activity Title" dropdown menu.
- A "Date of Completion" field with a date picker showing "yyyy-MM-dd".
- A text instruction: "If any of the activities marked as complete above were not provided by you or your organization, please attach proof of completion for each activity."
- A table header with "File Name" and "Size" columns.
- A dashed box for file uploads with the text "Drop files to attach, or [browse](#)".

Figure 15e: CERTS - Report CE Attendance

Once all required fields have been completed and reviewed, the user can Save or Submit the **CE Activity Reporting Form**. Once submitted successfully, a new window will open showing successful completion (Figure 15e).

The screenshot shows a confirmation message in a modal window. It features a dark header bar and the following content:

- A green heading: "Your form has been submitted!"
- Text: "Thank you for submitting your form. Your submission reference number is 219"
- Text: "If you have any questions or concerns, please contact us at ce@mfa.ca."
- A "Click to Close" button at the bottom.

Figure 15e: CERTS – Form Successfully Submitted

Reported Activities can be viewed under the Submissions tab. If an activity is entered twice, the initial entry will be deemed invalid (Figure 15g).

<u>Name</u>	<u>Completion Date</u>	<u>Outcome</u>	<u>Process Date</u>
Advanced Ethics	11/2/2020	VALID	11/2/2020
KYC Requirements	10/5/2020	VALID	10/23/2020
Planning for Retirement	11/2/2020	VALID	11/9/2020
Planning for Retirement	11/2/2020	INVALID	11/9/2020
Complaint Management	11/2/2020	VALID	11/9/2020
AML Laws and Regulations	11/10/2020	VALID	11/10/2020
AML Laws and Regulations	11/10/2020	INVALID	11/10/2020

Figure 15g: CERTS - Report a CE Activity – Invalid Entry

9 CREDIT REDUCTION REPORT (LEAVES OF ABSENCE)

As per MFDA Rule 1.2.6(e), the MFDA permits a Member to reduce the CE credit requirements for a Participant due to leaves of absence of at least 4 weeks. To report a credit reduction, the Member Administrator must submit the Credit Reduction Report.

Select the **Credit Reduction Report** from the right hand actions menu (Figure 16a).

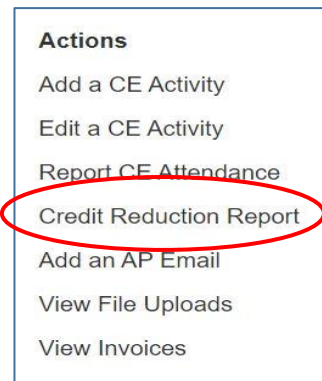
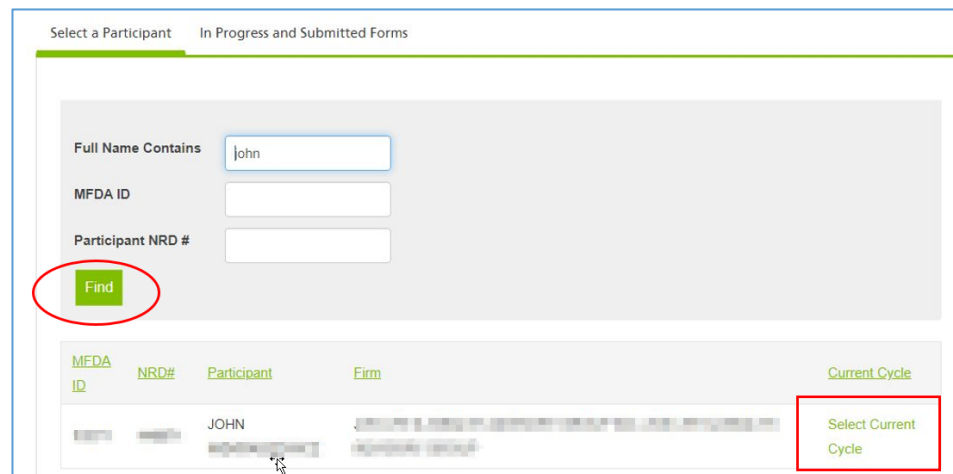


Figure 16a: CERTS – Credit Reduction Report

The system will take you to a search form. Enter the appropriate search criteria and the select the correct Participant (Figure 16b).

A screenshot of a web form titled "Select a Participant" with a sub-header "In Progress and Submitted Forms". The form has three input fields: "Full Name Contains" with the value "john", "MFDA ID", and "Participant NRD #". A green "Find" button is circled in red. Below the form is a table with columns: MFDA ID, NRD#, Participant, Firm, and Current Cycle. The first row of data shows "JOHN" in the Participant column. A red box highlights the "Current Cycle" column, which contains the text "Select Current Cycle".

MFDA ID	NRD#	Participant	Firm	Current Cycle
		JOHN		Select Current Cycle

Figure 16b: CERTS – Credit Reduction Report

The Credit Reduction form for the selected individual will appear on screen. Enter the total number of months that the Participant will be on a leave of absence. The system will automatically calculate the New Requirement for the Participant. Click **Submit** (Figure 16c).

Credit Reduction Report

Participant

Registration Category

Cycle

Cycle Start

Cycle End

Months Absent *

Credit Calculation

Category	Current Requirement	Credit Reduction	New Requirement
Professional Development	13	1	12
Business Conduct	6	0	6
MFDA Credits	3	0	3
Total	22	1	21

User Agreement

Content to be defined

☐ I agree to the above conditions *

Cancel

Save

Submit

Figure 16c: CERTS – Credit Reduction Report

Once submitted successfully, a new window will open showing successful completion (Figure 16d).

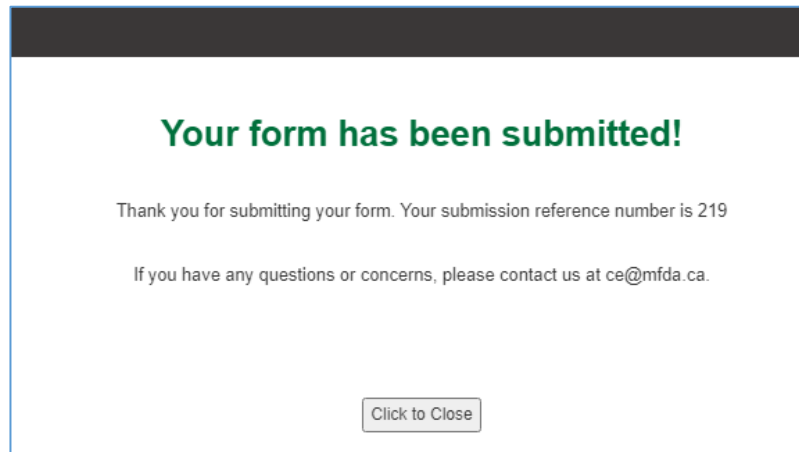


Figure 16d: CERTS – Form Successfully Submitted

10 BULK UPLOADS

This User Guide has demonstrated the entry of records on a one-by-one basis. For Members with a large number of records to be entered in CERTS, a bulk upload option has been made available. This will require the Member to submit a template excel sheet through the MFDA's secure file transfer site. For more information about the bulk upload process please see the **Member Guide** on the Continuing Education page of the MFDA website.