



CERTS – Participant User Guide

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1 OVERVIEW

For the CE Reporting and Tracking System (“CERTS”) the functionality and level of access an Approved Person has is defined by their role as “Participant”. This user guide will cover all functionality available to a Participant User, however Members have the ability to limit the functionality that is accessible to their Participants.

Please refer to the Participant Guide on the MFDA website for further details on this and other aspects of administering the MFDA CE program.

Please note that the numbers, names and other details used in the figures throughout this guide are for illustrative purposes only and the exact wording and appearance of screens on CERTS may differ from the screenshots provided in this guide.

2 USER LOGIN

Click on the **CE Login** link in the **Continuing Education** section of the [MFDA Website](https://crm.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 **Username** and **Password** and click **Sign In** (Figure 1).

Upon the creation of Participant accounts, CERTS will send an email to the user with their assigned username to access the account. See Section 4, Initial Login, for more details on your first log-in.

As of December 1, 2021, if you are registered with an MFDA Member and have not received access to CERTS, please contact your Member.

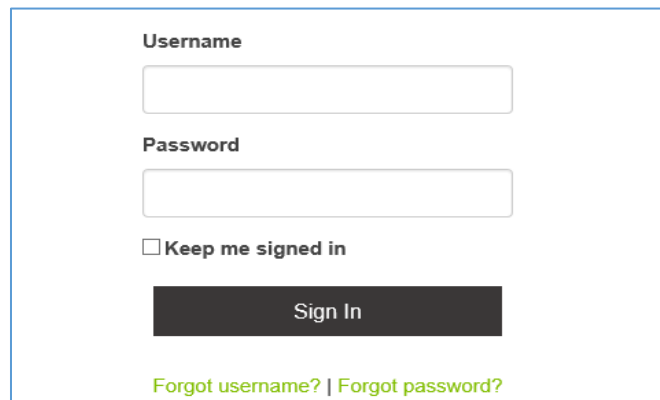
A screenshot of the CERTS login interface. It features a white background with a blue border. At the top, the label "Username" is positioned above a white text input field. Below this, the label "Password" is positioned above another white text input field. Under the password field, there is a checkbox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

Figure 1: CERTS – Login

3 FORGOT USERNAME/PASSWORD?

Use the **Forgot Username?** or **Forgot Password?** function 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). If the correct email address is entered, the username will be sent to associated email.

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 lead to the reset password webpage (Figure 2c on the next page).

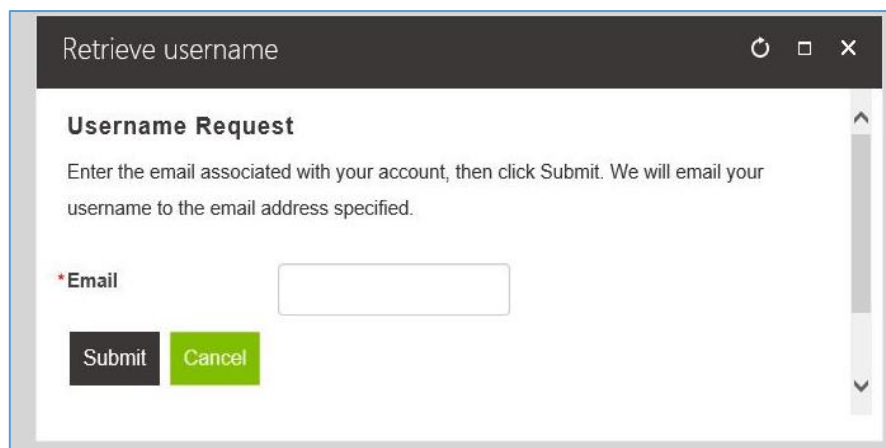
The screenshot shows a web browser window titled "Retrieve username". The main heading is "Username Request". Below the heading is a paragraph: "Enter the email associated with your account, then click Submit. We will email your username to the email address specified." There is a text input field labeled "*Email". At the bottom, there are two buttons: "Submit" (dark grey) and "Cancel" (green).

Figure 2a: Retrieve Username

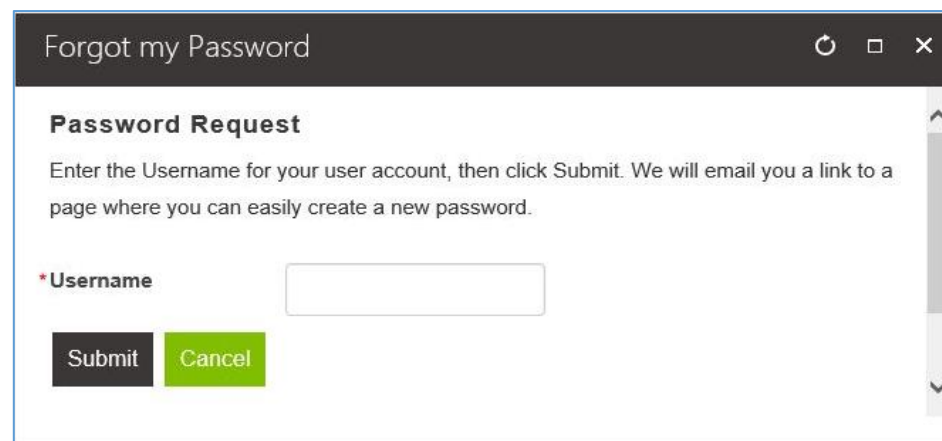
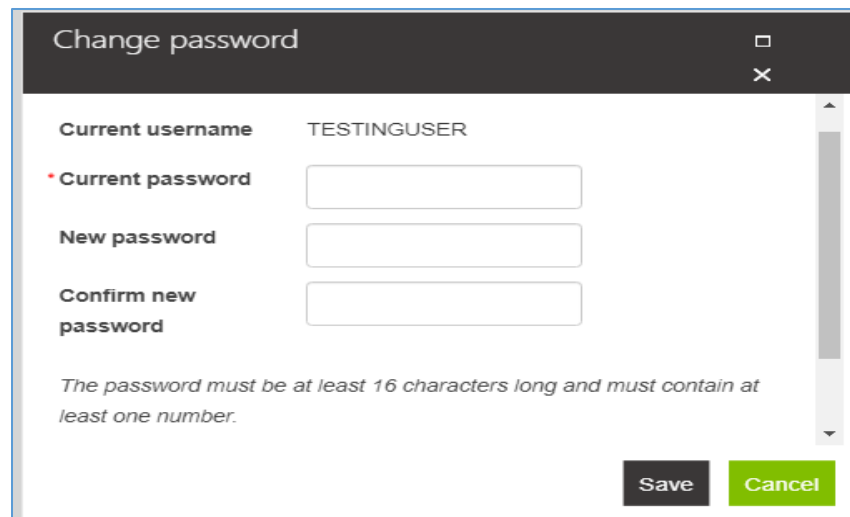
The screenshot shows a web browser window titled "Forgot my Password". The main heading is "Password Request". Below the heading is a paragraph: "Enter the Username for your user account, then click Submit. We will email you a link to a page where you can easily create a new password." There is a text input field labeled "*Username". At the bottom, there are two buttons: "Submit" (dark grey) and "Cancel" (green).

Figure 2b: Forgot my Password Feature



Change password

Current username TESTINGUSER

* Current password

New password

Confirm new password

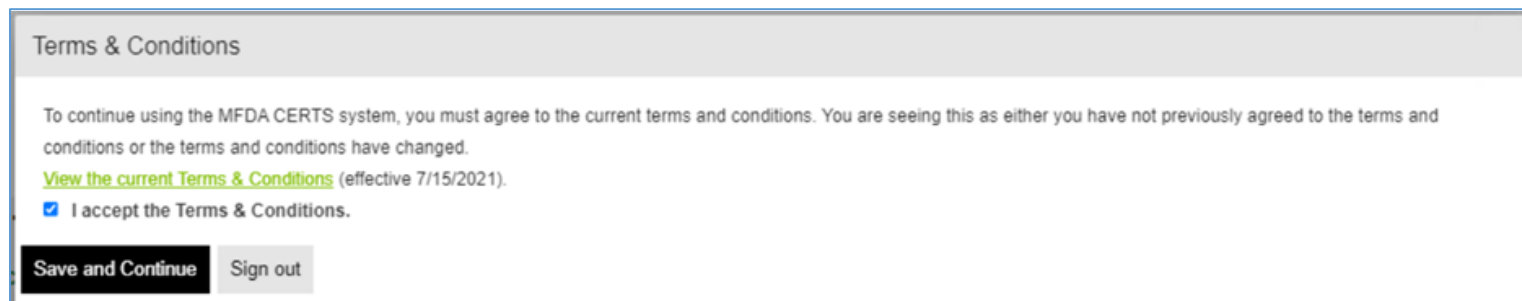
The password must be at least 16 characters long and must contain at least one number.

Save Cancel

Figure 2c: Reset Password Feature

4 INITIAL LOGIN

Please note that you will receive a notification email prior to your initial login, advising you that you now have access to CERTS and providing instructions on how to log in. Please follow the instructions in that email for your initial login. During the initial login process, there will be a pop-window that appears with the Terms and Conditions for MFDA CERTS (Figure 3a). This window will also appear when there is a change to the terms and conditions. Please review and select **Save and Continue** to proceed.



Terms & Conditions

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.

[View the current Terms & Conditions](#) (effective 7/15/2021).

☒ I accept the Terms & Conditions.

Save and Continue Sign out

Figure 3a: CERTS – Login

4.1 Alternate/Secondary Email Address

Another window will appear asking the user to input an alternate email address (Figure 3b). This is optional for the user. The Participant has three options:

- 1) Enter an alternate email address, select the confirmation box, and click **Save & Close**.
- 2) Leave the alternate email address field blank, select the confirmation box indicating that the Participant does not wish to provide an email address and click **Save & Close**.
- 3) Select **Cancel** to enter the CERTS account, however the alternate email prompt will appear again on your next login.

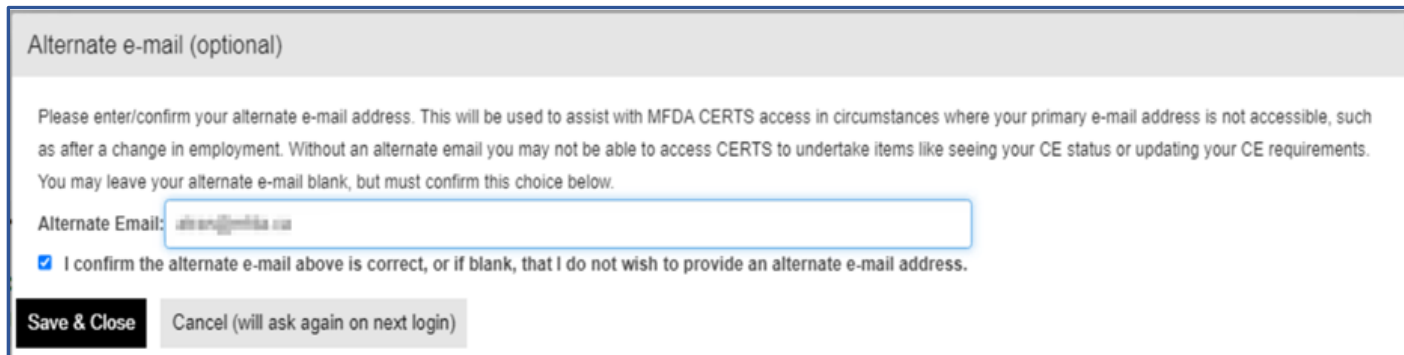


Figure 3b: CERTS – Login

*Note: As long as the Participant is registered with an MFDA dealer, CERTS will use their Member-approved email as their primary email address.

If the Participant wishes to add or update the alternate/secondary email address at a later date, select **Add/Update Secondary Email** in the right hand menu (Figure 3c) of the Dashboard.

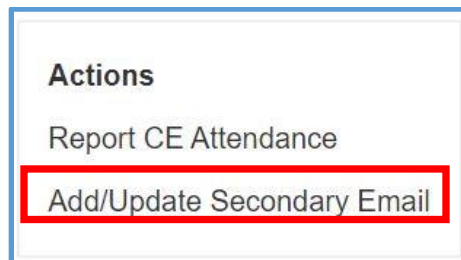


Figure 3c: CERTS – Change Secondary Email

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 3d)

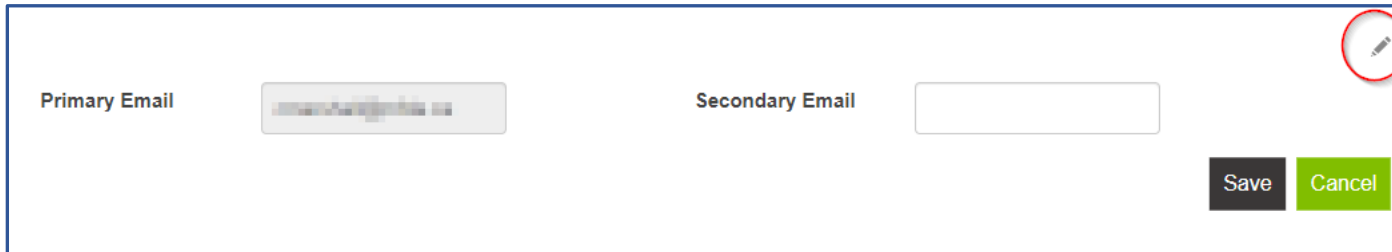
The screenshot shows a user profile edit interface. On the left, there is a label 'Primary Email' followed by a greyed-out text field. To the right, there is a label 'Secondary Email' followed by an empty white text field. In the top right corner, there is a small pencil icon inside a red circle, indicating the edit function. At the bottom right, there are two buttons: a dark grey 'Save' button and a green 'Cancel' button.

Figure 3d: CERTS- Change Secondary Email

5 CERTS USER ACCOUNT TYPES AND ROLES

5.1 User Account Types

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

Participant user accounts are created when Member Administrators provide the MFDA with the Member-approved email address of the Participant. Once the account is created, CERTS will send an email to the Participant notifying them of the creation of the account.

5.2 User Roles

Refer to the table in Figure 4 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 Participant to report their own CE Activity Attendance if the Member is undertaking such entry of all CE activity attendance on behalf of the Participants. Also, some Education Providers may wish to report attendance on behalf of Participants who have completed their CE Activities.
2. Participants can only view their own CE Details Summary.
3. Participants will be able to view the public CE Activities of their own Member and all Education Providers.

Figure 4: CERTS User Roles

6 DASHBOARD

The Dashboard is the main landing page for the CERTS system and can be used to access all available functions. There are four tabs at the top of the page representing different functions. The CE Details tab is used to view the breakdown of the Participant's CE Requirements and CE Credits earned. The Course Catalogue tab is used to search for Member and Provider courses and/or activities. The Submissions tabs is used to review previously submitted CE Activity Attendance Forms or to access previously saved forms that have not yet been submitted.

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

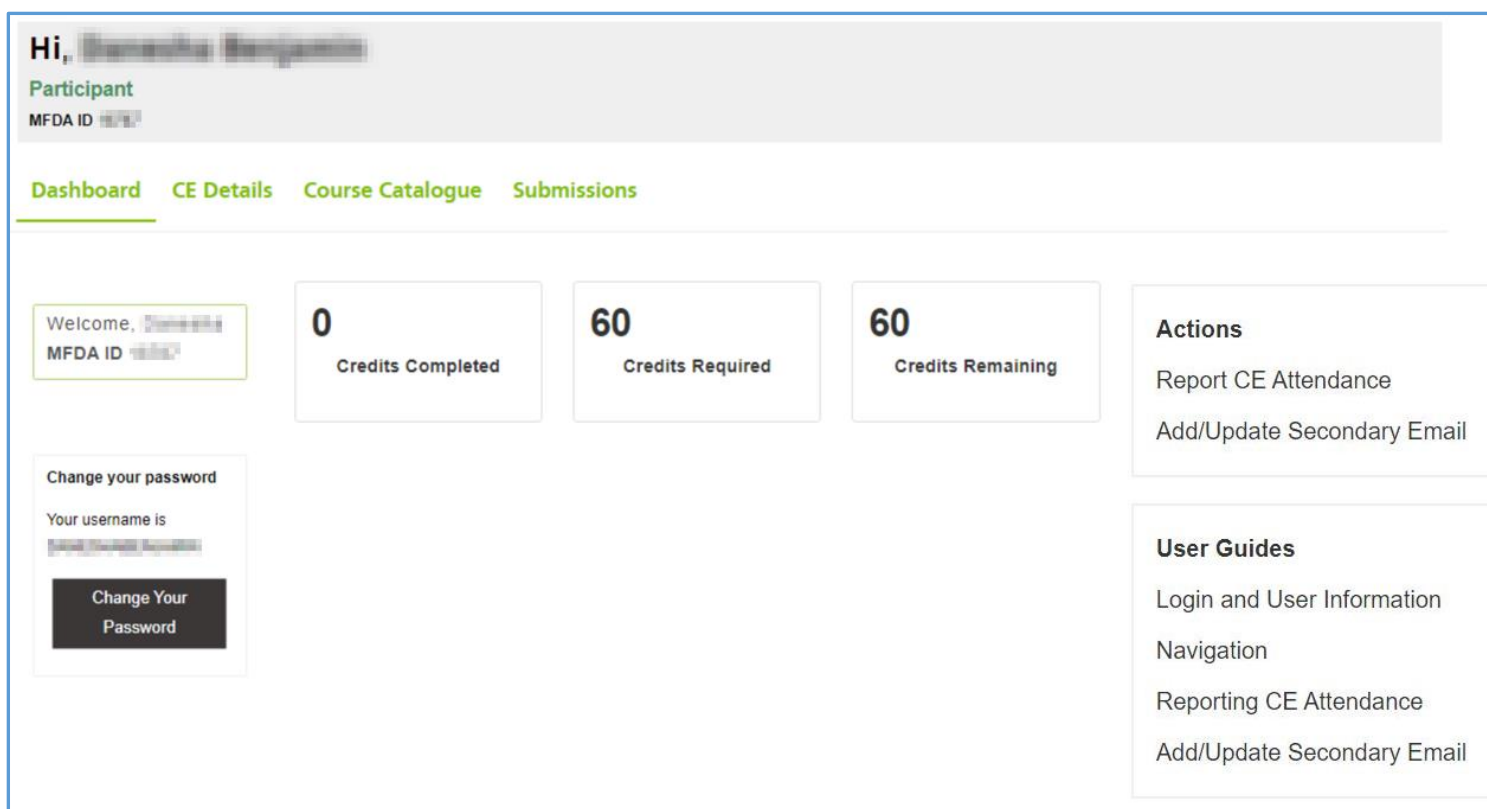


Figure 5- CERTS Participant Dashboard

7 CE DETAILS TAB

The CE Details page can be accessed from the Dashboard. This page will display a series of tables that breakdowns the Participant's full CE information for the current cycle. This can be used for detailed tracking of progress. To access this information, select **CE Details** (Figure 6).

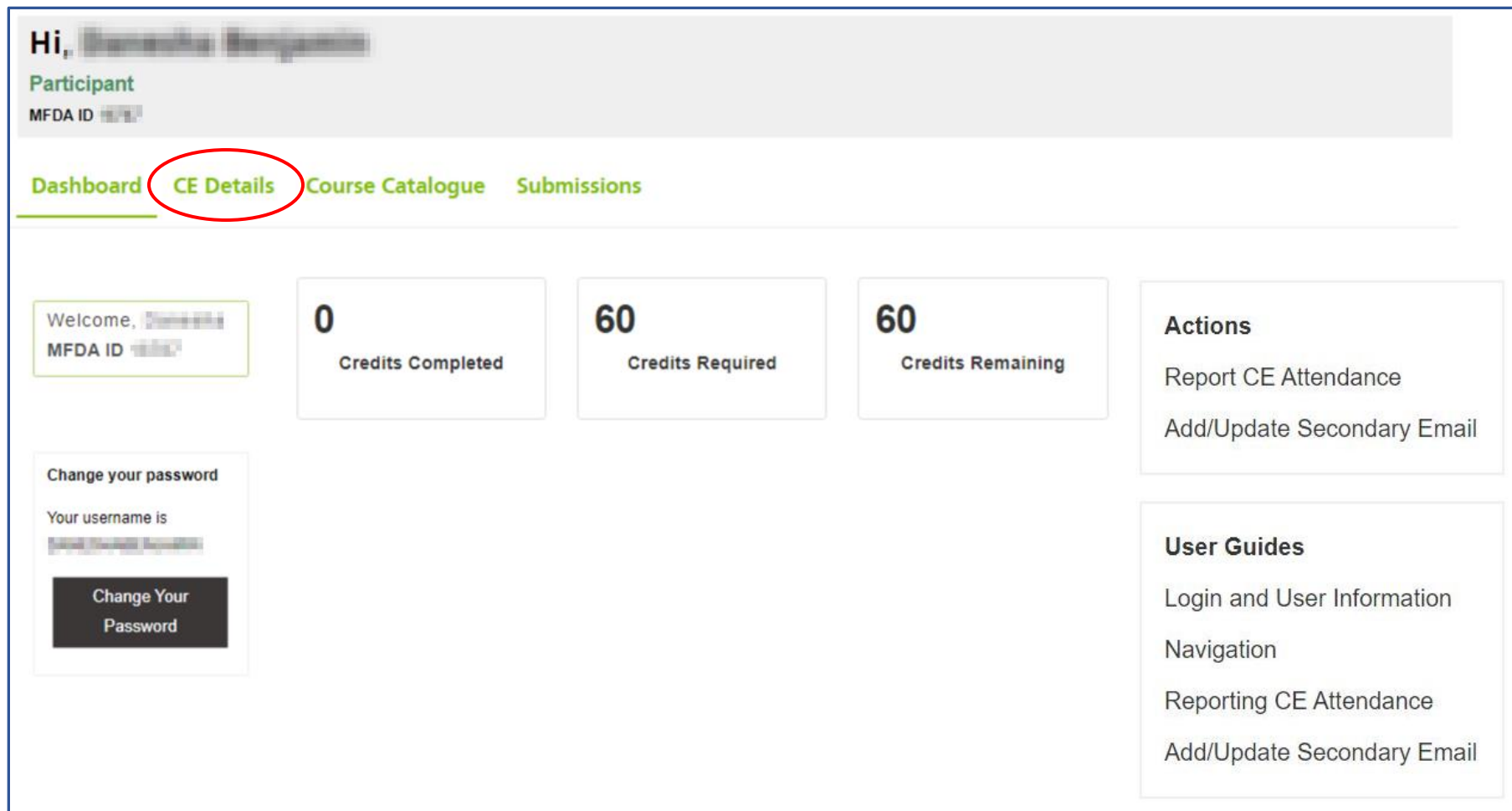


Figure 6: CERTS – CE Details

7.1 CE Summary

The CE Summary table displays all Business Conduct (“BC”), Professional Development (“PD”) and MFDA Compliance (“MC”) credits required, earned and remaining for all cycles that the Participant is/was active (Figure 7a).

Dashboard CE Details Course Catalogue Submissions										
CE Summary										
Export										
<u>Cycle</u>	<u>Category</u>	<u>PD Required</u>	<u>PD Earned</u>	<u>PD Remaining</u>	<u>BC Required</u>	<u>BC Earned</u>	<u>BC Remaining</u>	<u>MC Required</u>	<u>MC Earned</u>	<u>MC Remaining</u>
2021-2022	DR	20	0	20	8	0	8	2	0	2
2019-2020	DR	20	0	20	8	0	8	2	0	2

Figure 7a: CERTS CE Summary

7.2 CE Required

The CE Required table displays the credits required for a Participant based on their registration status for the current cycle (Figure 7b).

CE Required							
<u>Cycle</u>	<u>Start</u>	<u>End</u>	<u>Months</u>	<u>Category</u>	<u>PD</u>	<u>BC</u>	<u>MC</u>
2019-2020	1/1/2019		24	DR	20	8	2

Figure 7b: CERTS – CE Required

7.3 CE Earned

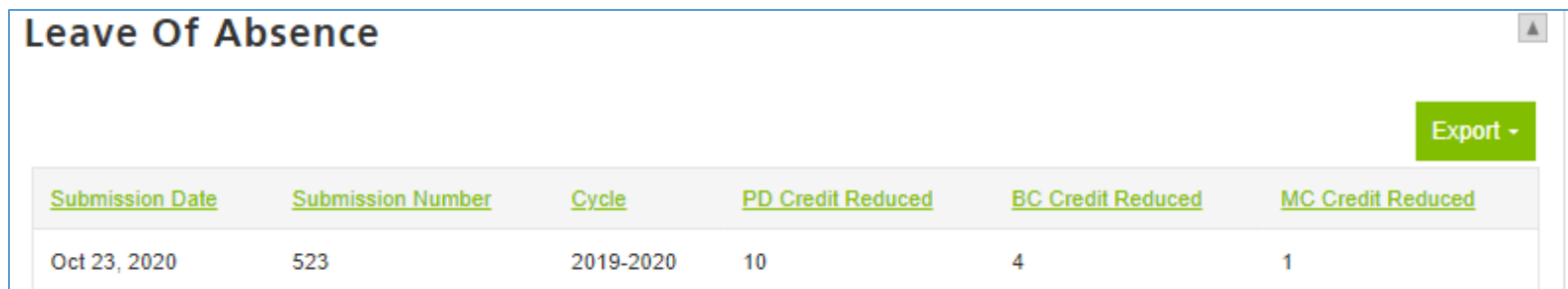
The CE Earned table will display a list of courses/activities completed during the current cycle along with their respective credit categories and the number of credits earned (Figure 7c). This table can be used to confirm credit categories for completed courses/activities.

CE Earned							
<u>Cycle</u>	<u>Course Name</u>	<u>Completed</u>	<u>PD</u>	<u>BC Ethics</u>	<u>BC Non-Ethics</u>	<u>MC</u>	
2019-2020	Advanced Ethics	11/2/2020	0	2	0	0	
2019-2020	KYC Requirements	10/5/2020	3	0	2	0	
2019-2020	Planning for Retirement	11/2/2020	0	0	2.5	0	

Figure 7c: CERTS – CE Earned

7.4 Leave of Absence

The Leave of Absence table will display any credit reduction reports that have been submitted by the Participant's Member in the case of a leave of absence (Figure 7d). Only Members can enter these LOAs. These reduced credits will also be reflected in the CE Required and CE Summary tables.



Leave Of Absence					
<u>Submission Date</u>	<u>Submission Number</u>	<u>Cycle</u>	<u>PD Credit Reduced</u>	<u>BC Credit Reduced</u>	<u>MC Credit Reduced</u>
Oct 23, 2020	523	2019-2020	10	4	1

Figure 7d: CERTS – Leave of Absence

7.5 Completed Activities

The Completed Activities table displays all courses/activities reported for the Participant (Figure 7e on next page). Note: If an activity is reported twice, the duplicate entry will be deemed invalid.

Completed Activities

Name Contains

Completed Between and

Find

Export ▾

Name	Completion Date	Outcome	Process Date
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

Figure 7e: CERTS – Completed Activities

8 REPORTING CE ATTENDANCE

The 'Report CE Attendance' function is used to report attendance after completing a course/activity. Select the **Report CE Attendance** in the right hand Action menu (Figure 8a).

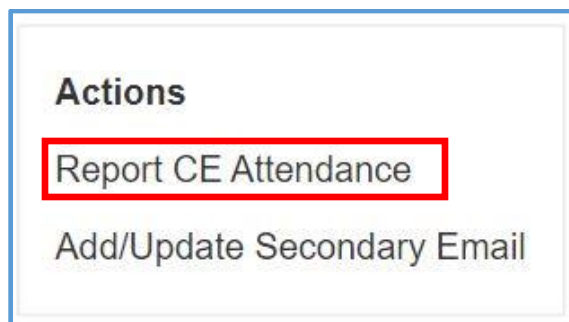


Figure 8a: CERTS - Report an CE Attendance

The form will appear in a separate window where you will need to select **Activity Search** in order to search for an activity (Figure 8b).

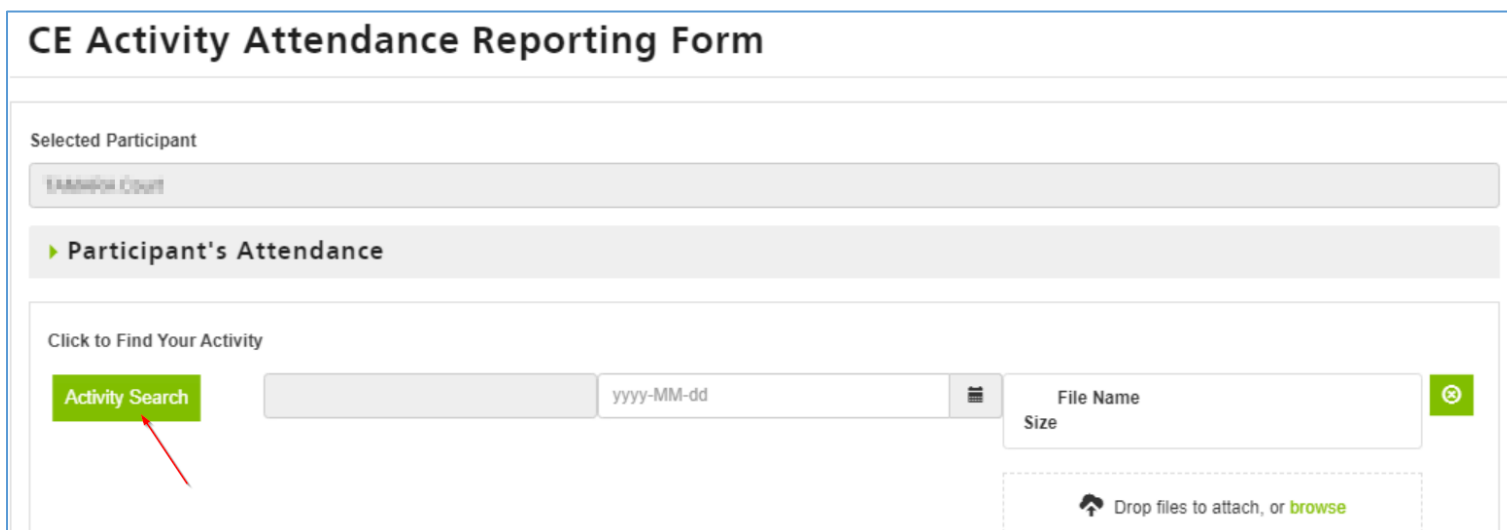
A screenshot of the 'CE Activity Attendance Reporting Form'. The form has a title bar 'CE Activity Attendance Reporting Form'. Below the title bar, there is a section 'Selected Participant' with a text input field containing 'EXAMPLE COURSE'. Below this is a section 'Participant's Attendance' with a right-pointing arrow icon. Below that is a section 'Click to Find Your Activity' containing a green button labeled 'Activity Search' with a red arrow pointing to it, a text input field with 'yyyy-MM-dd', a calendar icon, a table header with 'File Name' and 'Size', and a green button with a plus icon. At the bottom right, there is a dashed box with a cloud icon and the text 'Drop files to attach, or browse'.

Figure 8b: CERTS – Report CE Attendance

A new window will appear that will allow the Participant to search the Course Catalogue for the correct CE activity. Enter details in one of the provided fields to find the activity (MFDA No is suggested) and click **Find** (Figure 8c). Once the correct activity is found, click “Select” next to the course name.

Activity Name	<input type="text"/>
Provider Name	<input type="text"/>
Activity No	<input type="text"/>
MFDA No	<input type="text"/>
Find	
Activity Details	
Select	MFDA Testing Member Inc. / KYC Advanced 2 / 999 / 1000000004
Select	XYZ Course Providers / XYZ Course 1 / 1 / 1000000005
Select	PQR Course Providers / PQR course 1 / 88 / 1000000006

Figure 8c: CERTS – Find CE Activity

CERTS – Participant Manual

The Attendance form will autopopulate with the activity selected. Click the date field to enter the completion date of the CE activity.

Participants must also submit the evidence of attendance (e.g. completion certificate) for the CE activity. Select the “browse” button to upload the certificate into CERTS from a local computer. Select the certificate and click “Open” (Figure 8d). The file name will appear when the certificate has been successfully attached (Figure 8e).

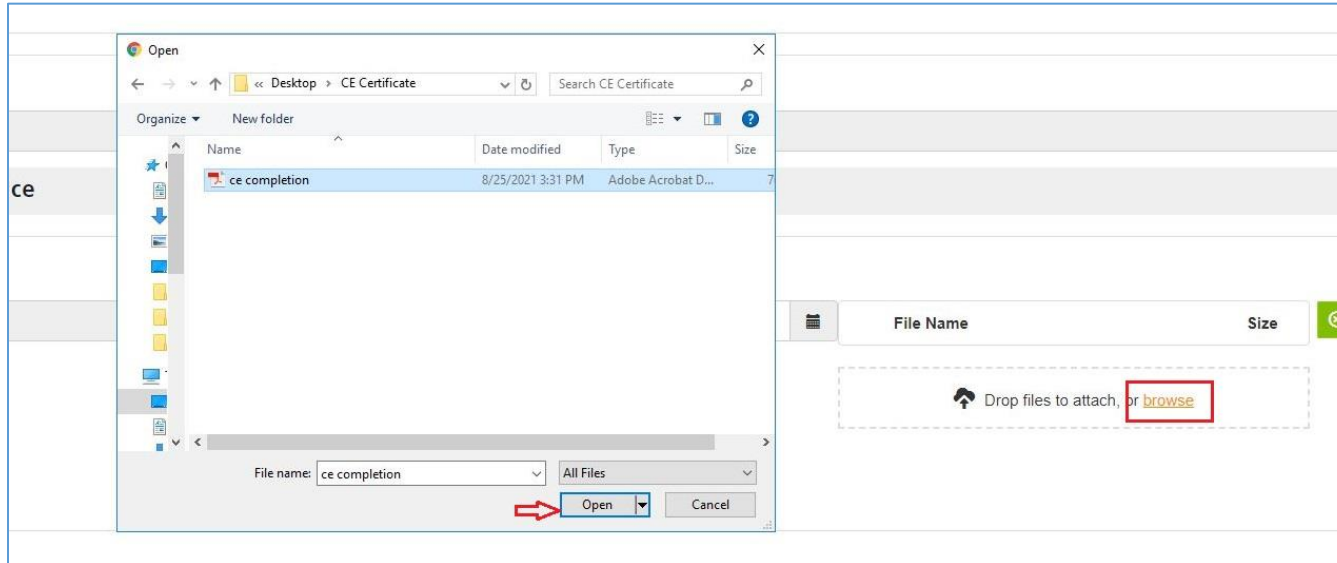


Figure 8d: CERTS – Report CE Attendance

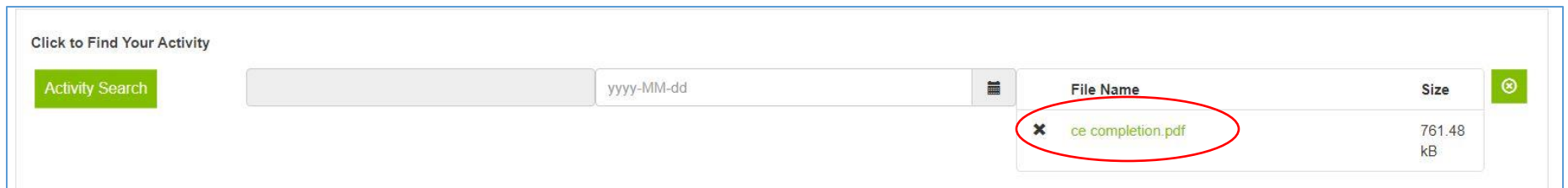


Figure 8e: CERTS – Report CE Attendance

To report attendance at another activity, the Participant will need to select the **+ Add Another** function. Another Activity Search row will appear. To remove an activity from the form click the “x” at the end of the row.

Once all required fields have been completed and reviewed, the user can Save or Submit the **CE Activity Attendance Reporting Form**.

The screenshot displays the 'CE Activity Attendance Reporting Form' interface. It features two rows for activity reporting. Each row includes an 'Activity Search' button, a text field for the activity name (e.g., 'PQR course 1', 'XYZ Course 1'), a date field (e.g., '2021-08-11', '2021-08-12'), and a list icon. To the right of each row is a file upload section with a 'File Name' and 'Size' label, a 'Drop files to attach, or browse' instruction, and a green button with a circular arrow icon. A red box highlights the date field '2021-08-12' in the second row. Below the activity rows is a '+ Add Another' button. At the bottom of the form are three buttons: 'Cancel', 'Save', and 'Submit'. Red arrows point to the '+ Add Another' button, the 'Submit' button, and the green circular arrow button in the second row.

Figure 8e: CERTS – Report CE Attendance

A prompt will appear showing successful submission (Figure 8f).

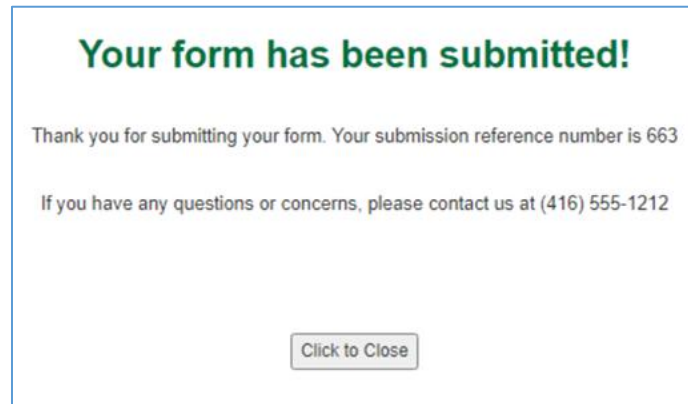


Figure 8f: CERTS – Report CE Attendance

9 COURSE CATALOGUE

The Course Catalogue tab can be used to search courses/activities offered by Education Providers and the Participant's Member. Select the **Course Catalogue** tab from the dashboard. Activities and Courses can be found by entering the necessary search criteria and then select **Find** (Figure 9a). The results will appear below the search field.

Dashboard CE Details **Course Catalogue** Submissions

Provider Name

Contains

Activity Name

Activity No Contains

Provider Activity No

Find

Export

Activity No	Provider Name	Name	Description
1000000009	MFDA Testing Member Inc.	Introduction to Mutual Funds	Introduction to Mutual Funds
1000000010	MFDA Testing Member Inc.	The Best Secondary Course	Ethics

Figure 9a: CERTS – Course Catalogue

Select the course name and a new window will appear with the Activity details (Figure 9b).

Continuing Education Activity

Activity Name	Description
KYC Basics	KYC basics

Activity Information

MFDA No	Activity No	Available To	Subject
1000000002	123	Participants registered with, or designated by, a Member	Know-Your-Client standards

Credit Details

Category	Credit Amount
Business Conduct - Ethics	2

Figure 9b: CERTS – Course Catalogue

10 SUBMISSIONS

The Submissions tabs is used to review previously submitted forms or to access previously saved forms that have not yet been submitted (Figure 10a).

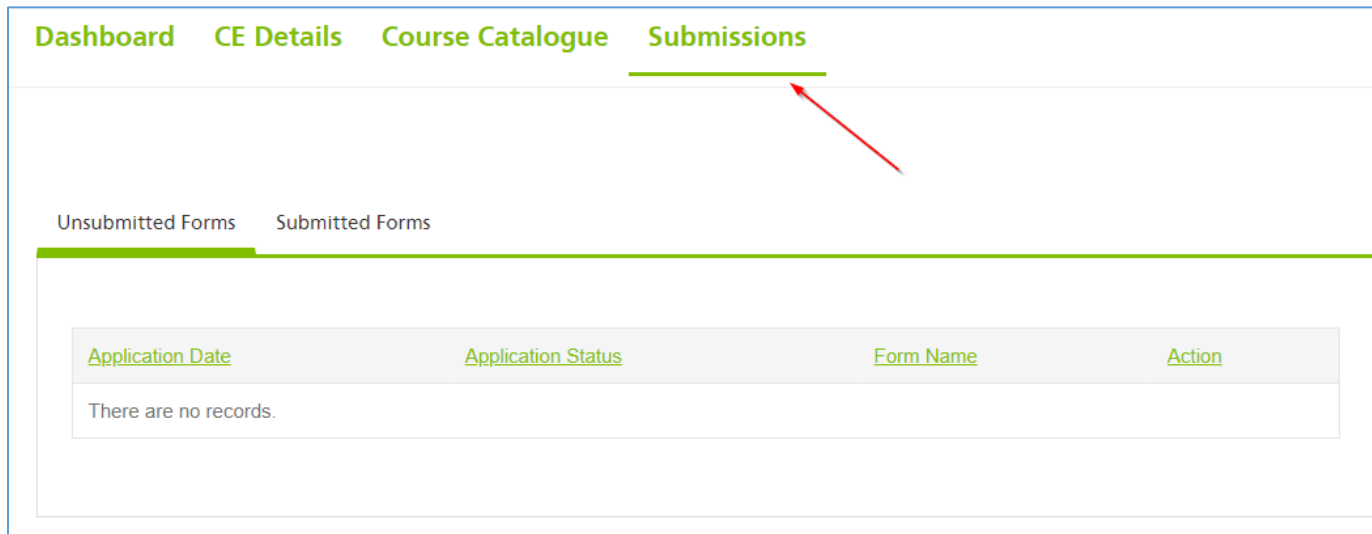


Figure 10a: CERTS – Submissions

Saved forms will be listed under the **Unsubmitted Forms** tab and submitted forms will be listed under the **Submitted Forms** tab.

Note: Unsubmitted form can be revised and submitted at a later date. Submitted forms can no longer be revised.

10.1 Unsubmitted Forms

Select **View Application** to view/revise the Participant's unsubmitted attendance forms (Figure 10b).

Unsubmitted Forms		Submitted Forms	
Application Date	Application Status	Form Name	Action
Jun 19, 2021	Started	CE Activity Reporting	View Application

Figure 10b: CERTS – Submissions

The saved attendance form will open in a new window. The Participant may make the necessary changes to the Form and choose to Save the form again or submit when completed (Figure 10c).

Selected Participant

TEAM Cops

Participant's Attendance

Click to Find Your Activity

Activity Search

KYC Advanced 2

2021-07-20

File Name

Size

Drop files to attach, or browse

+ Add Another

Cancel

Save

Submit

Figure 10c: CERTS – Submissions

10.2 Submitted Forms

Under the Submitted Forms tab, a list of submitted CE Attendance forms will be displayed. Select View Application next to the applicable form to view the submitted form (Figure 10d).

Dashboard CE Details Course Catalogue <u>Submissions</u>			
Unsubmitted Forms		<u>Submitted Forms</u>	
Application Date	Application Status	Form Name	Action
Jun 19, 2021	Approved	CE Activity Reporting	View Application

Figure 10d: CERTS – Submissions

A new window will appear that will display the CE Attendance form (Figure 10e). These forms cannot be revised. You may exit out of the window when you have completed viewing the submission.

CE Activity Attendance Reporting Form

Selected Participant

► Participant's Attendance

Click to Find Your Activity

Activity Search

XYZ Course 1

2021-07-21

File Name

Size

Drop files to attach, or [browse](#)

Figure 10e: CERTS – Submissions

If the details submitted on the form are inaccurate, registered Participants should contact their Member Administrator to correct the information. If the Participant is not registered with an MFDA Member, the Participant should send a request to edit the information by email to ce@mfd.ca.