



CERTS – Provider 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 user role as either “Participant” (Approved Person), “Member Administrator” (MFDA Member CE tracking representative) or “Provider” (non-Member 3rd-party CE Activity/Course Provider). This manual will cover the access and functionality available to Providers.

Please note: 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 **Quick Links** section of the [MFDA Website \(www.mfda.ca\)](http://www.mfda.ca) home page. 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.

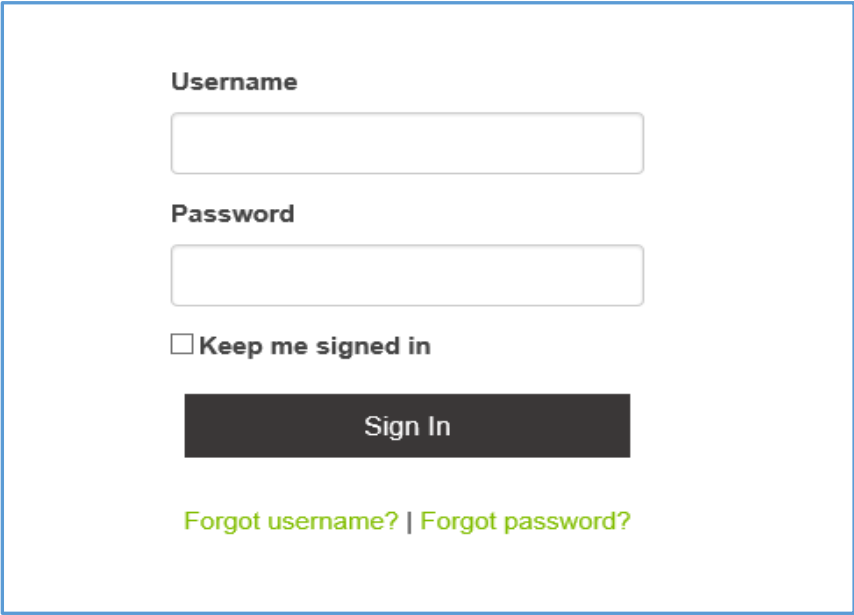
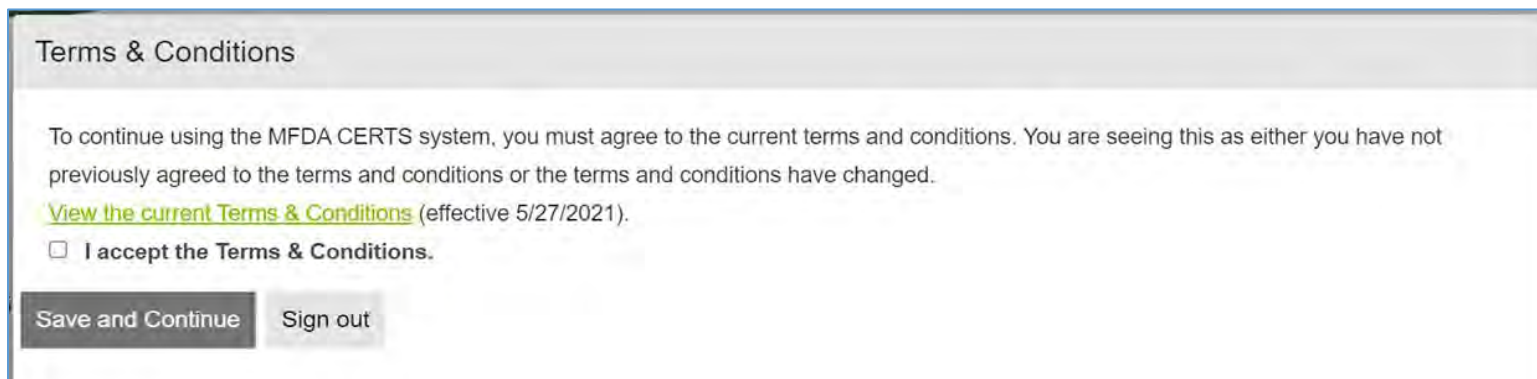
A screenshot of the CERTS login interface. It features a light gray background with a white login box. Inside the box, there are two text input fields: the first is labeled 'Username' and the second is labeled 'Password'. Below the password field is a checkbox labeled 'Keep me signed in'. A dark gray button with the text 'Sign In' is positioned below the checkbox. At the bottom of the login box, there are two green links: 'Forgot username?' and 'Forgot password?'. The entire login box is enclosed in a thin blue border.

Figure 1a: CERTS – Login

2.1 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, check off “I accept the Terms & Conditions” and select **Save and Continue** to proceed.

The image shows a web-based 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 that reads "View the current Terms & Conditions (effective 5/27/2021)". Underneath the link is a checkbox followed by the text "I accept the Terms & Conditions." At the bottom of the window, there are two buttons: "Save and Continue" and "Sign out".

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 \(effective 5/27/2021\).](#)

☐ I accept the Terms & Conditions.

Save and Continue Sign out

Figure 1b: 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 2). If the correct email address is entered, the username will be sent to associated email.

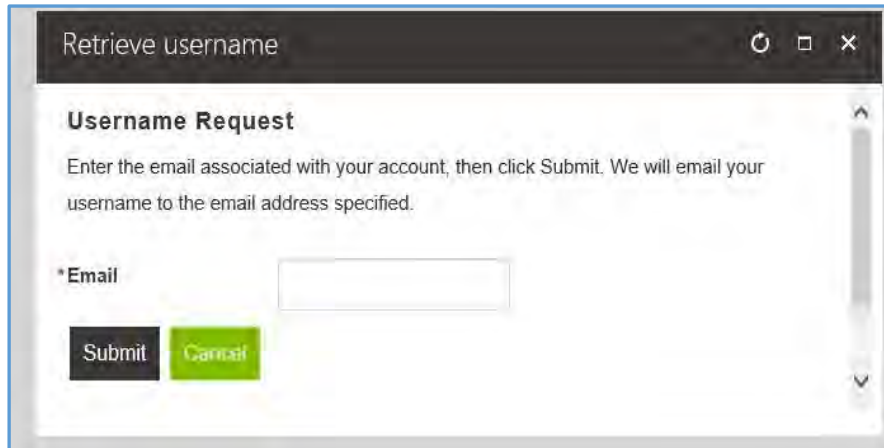


Figure 2a: CERTS - Retrieve Username

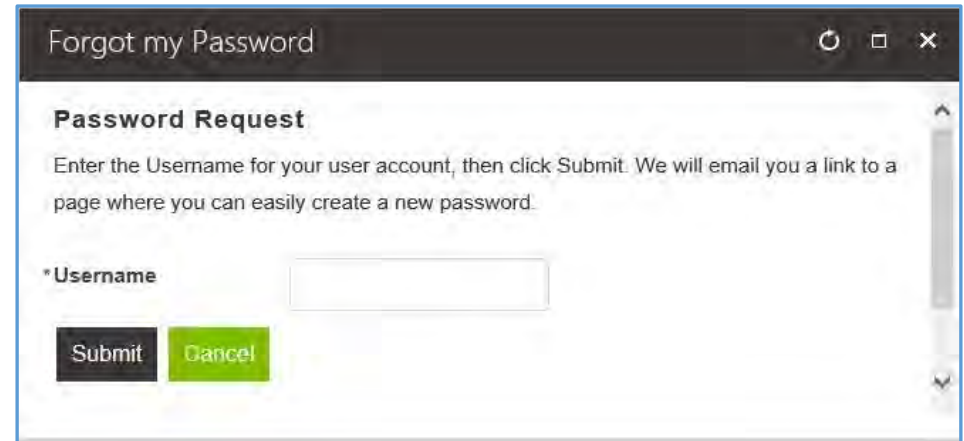
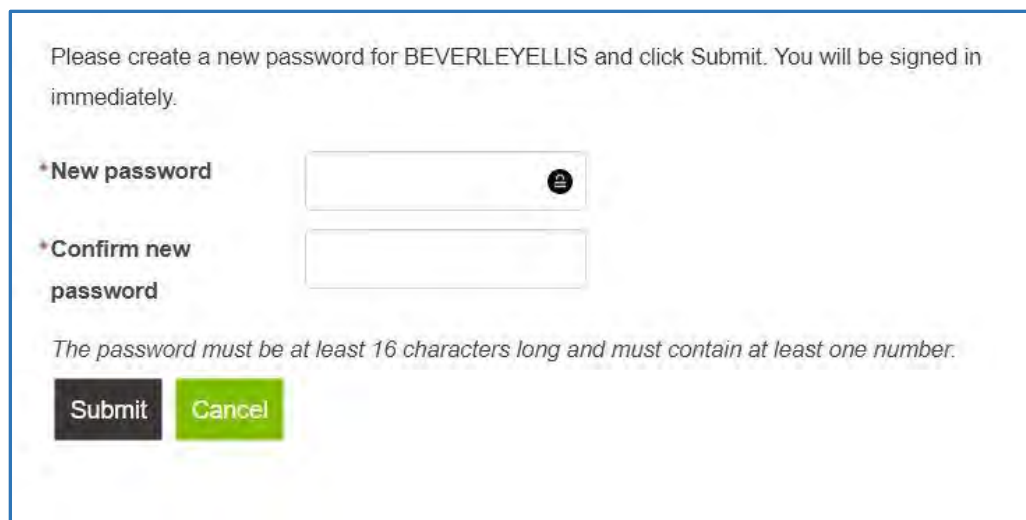


Figure 2b: CERTS - Forgot my Password Feature

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 3a). 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 3b)



Please create a new password for BEVERLEYELLIS and click Submit. You will be signed in immediately.

*New password

*Confirm new password

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

Figure 2c: CERTS- Reset Password Feature

4 USER ROLES

4.1 User Account Types

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

See the **Provider Guide** on the Continuing Education page of the MFDA Website for further details on how Provider accounts are created.

4.2 CERTS 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	•	•	•
Revise and Renew CE Activities		•	•
Submit Credit Reduction Report for Leaves of Absence		•	
View Participant CE Details Summary	•	•	
View CERTS Course Catalogue	•	•	•
Enter/Edit Participant primary email address		•	
Enter/Edit Participant secondary email address	•		

Figure 3: CERTS- User Roles

5 DASHBOARD

The Dashboard is the main landing page for the CERTS system and can be used to access all functions. There are three tabs at the top of the page representing different functions. 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. The centre of the Dashboard gives a quick visual representation as to the status of the Provider's activities.

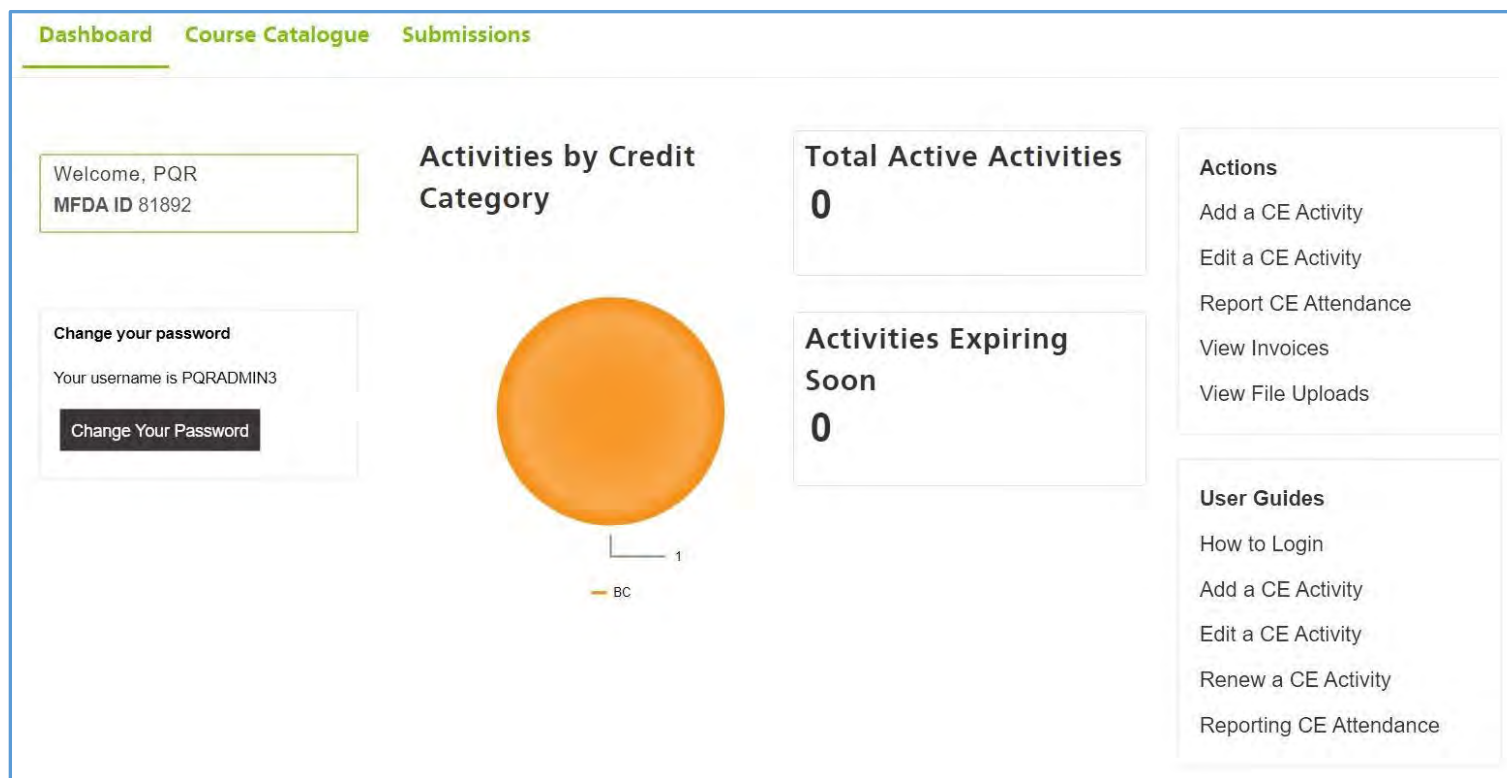


Figure 4: CERTS - Dashboard

6 CE ACTIVITY

In order for any user type to report attendance to a CE Activity, the CE Activity must already be added to the CE Course Catalogue.

6.1 Search Course Catalogue

To search for any course or activity, select the Course Catalogue tab from the Dashboard. Enter the applicable criteria in the search field and select **Find** to generate the results (Figure 5a). Select **Click for Details** to view more information about the course/activity including Activity Details, Credit Information and Accreditation Information (Figure 5b on the next page).

The screenshot shows the 'Course Catalogue' tab selected in the top navigation bar. Below the navigation bar, the title 'Continuing Education Activities' is displayed. A search form contains three input fields: 'Activity Name', 'MFDA Activity Number', and 'Provider Activity Number', each followed by a text input box. A green 'Find' button is located below these fields. Below the search form, a table displays search results. The table has four columns: 'Activity No', 'Name', 'Description', and 'More Information'. The first row shows '1000000125' in the 'Activity No' column, 'Introduction to Mutual Funds' in the 'Name' column, 'Introduction to Mutual Funds' in the 'Description' column, and a 'Click for Details' link in the 'More Information' column. The 'Click for Details' link is highlighted with a red box.

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

Figure 5a: 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 5b: CERTS-Search Course Catalogue

6.2 Add a CE Activity

The 'Add a CE Activity' function can be used to add courses or other CE activities to be added 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 6a). This will open the Add CE Activity form in a separate window.

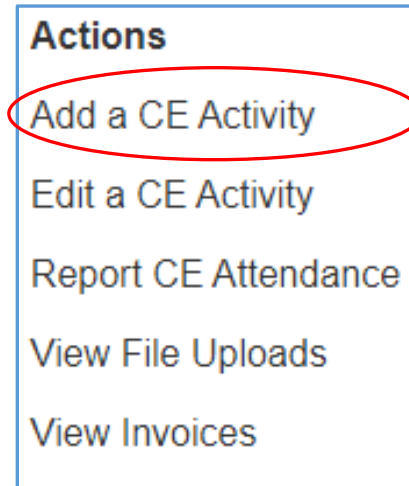
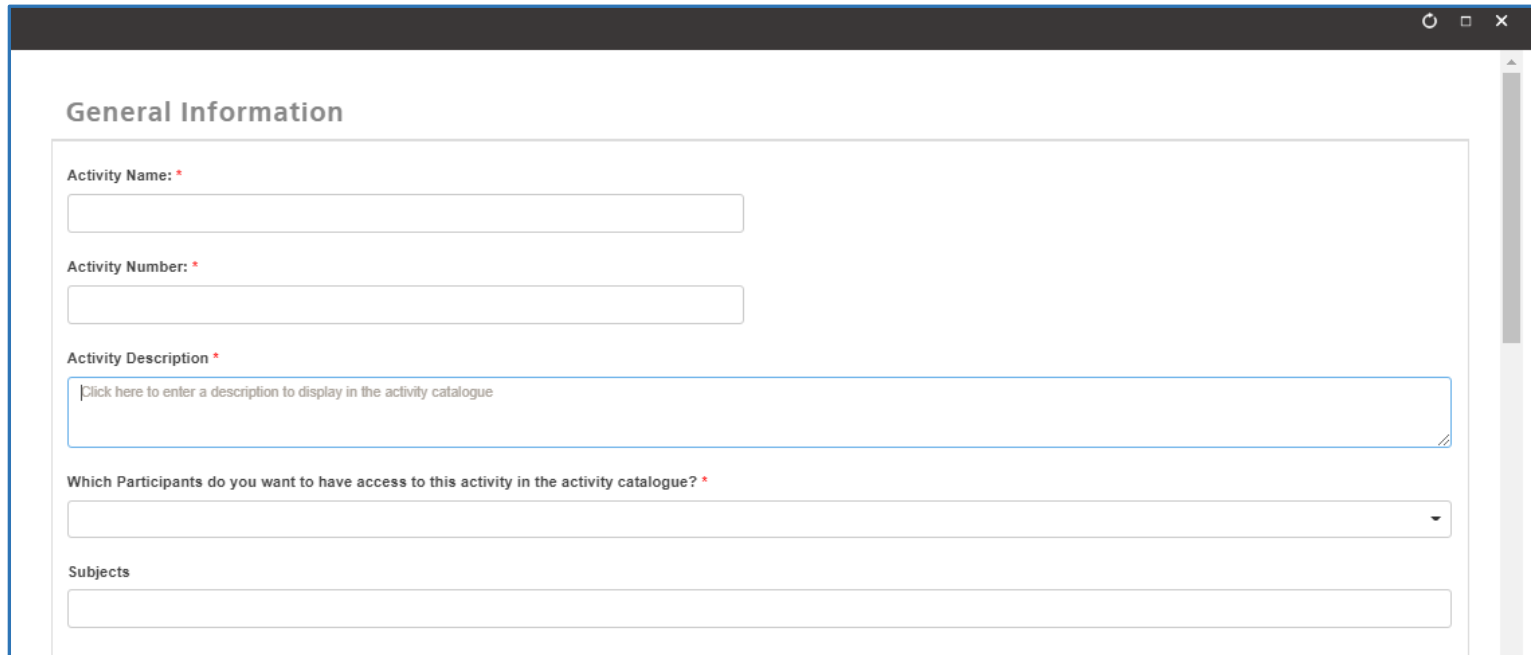


Figure 6a: CERTS- Add a CE Activity

CERTS – Provider Manual

Begin filling out the form (Figure 6b). All required fields are marked with a red asterisks. The Activity Number is the reference number that a Provider may use internally. It is not mandatory. The CERTS system will auto-generate an Activity reference number that should be noted by the Provider for future reference.



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

- Activity Name:** A text input field with a red asterisk indicating it is required.
- Activity Number:** A text input field with a red asterisk indicating it is required.
- Activity Description:** A text area with a red asterisk indicating it is required. The placeholder text reads: "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 with a red asterisk indicating it is required.
- Subjects:** A text input field.

Figure 6b: CERTS- Add a CE Activity

Under the “Accreditation Information” section (Figure 6c), Providers will be required to enter all Accreditation details, including the name of the Accrediting Organization name and number as well as uploading the accreditation certificate. If the accrediting organization is not listed, this means that the third-party accreditor has not been approved by the MFDA. See the Continuing Education page on the MFDA Website for a list all Recognized Third Party Accreditors.

Accreditation Information


Please indicate how this activity is accredited

Accreditation by another organization

Please select the accrediting organization *

Accreditation Number

Please attach a copy of the accreditation certificate: *

File Name	Size
<div> Drop files to attach, or browse</div>	

Issued From *

yyyy-MM-dd




Figure 6c: CERTS – Accreditation reporting

To report on the number of credits that an activity is worth, select the **Add Credit** button in the Credit section (Figure 6d).and the Credit Information screen with appear (Figure 6d).

Credits

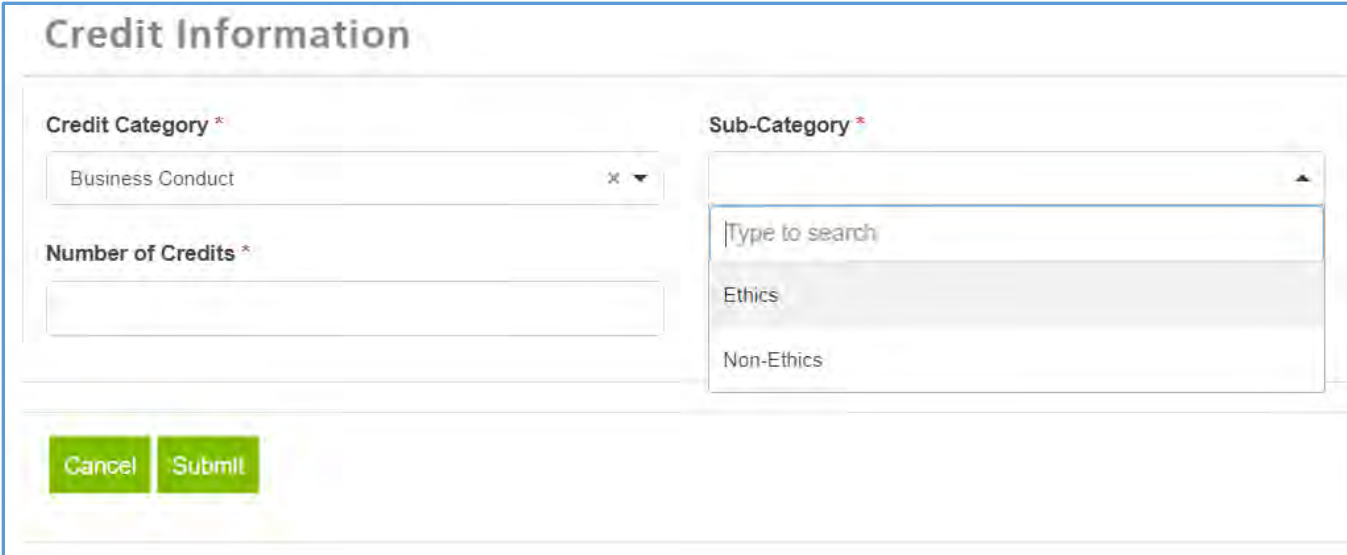
Add Credits

Total Professional Development Credits	Total Business Conduct Credits	Total MFDA Compliance Credits	Overall Activity Credits
0	0	0	0

The total number of credits for a CE Activity has to be at least 0.5

Figure 6d: CERTS – Credit Information


Two types of credit categories will appear in the Credit Category 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 6e). 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 web form titled "Credit Information". It contains two main sections. The first section has two dropdown menus: "Credit Category *" with "Business Conduct" selected, and "Sub-Category *" which is open, showing a search bar and two options: "Ethics" and "Non-Ethics". The second section has a text input field for "Number of Credits *". At the bottom left are two green buttons: "Cancel" and "Submit".

Figure 6e: CERTS – Credit Information

It will be required for the user to input a **PO Number** to generate an invoice for adding a CE Activity to the Course Catalogue (Figure 6).



The screenshot shows a single text input field with the label "PO Number *" above it.

Figure 7: CERTS – PO Number

When all of the required fields 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 8).

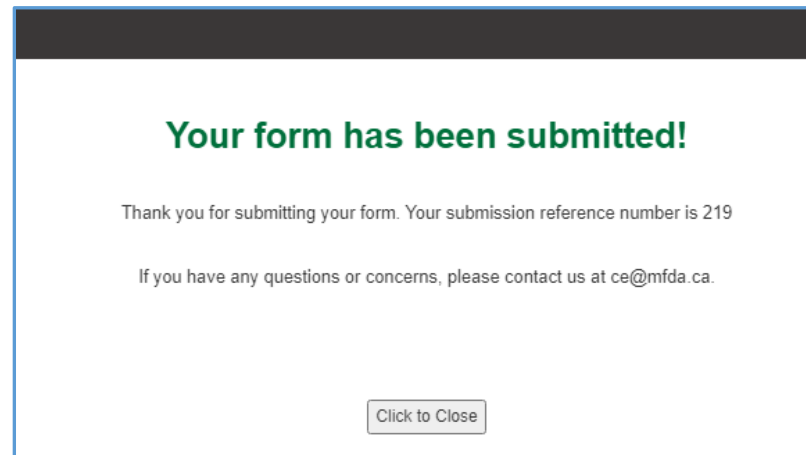


Figure 8: CERTS – Form Successfully Submitted

6.3 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 9a). Enter the applicable search criteria and click on **Find** to view results. Select **Revision** next to the activity that requires editing (Figure 9b).

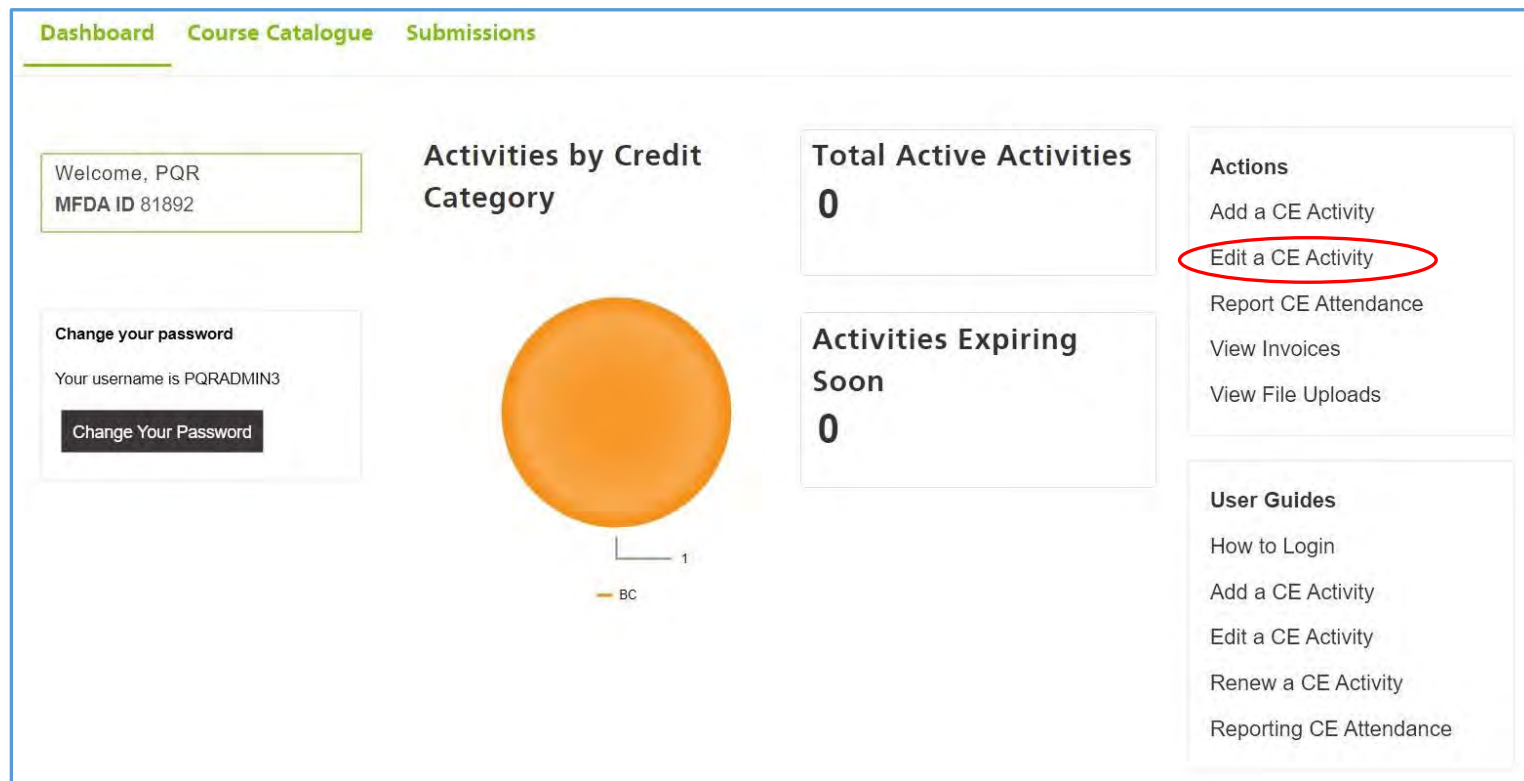
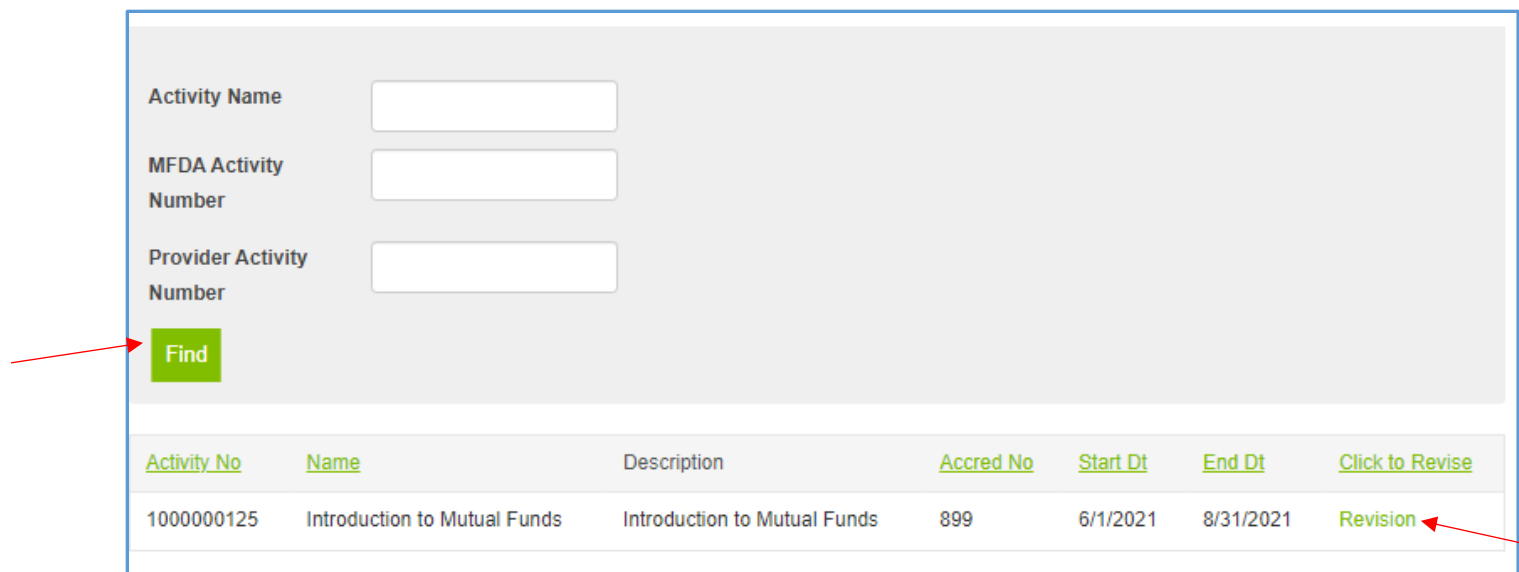


Figure 9a: CERTS – Edit an Activity



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 9b: CERTS – Edit an Activity

The revision form will open in a separate pop-up window (Figure 9c). Select all of the applicable boxes of the material and/or non-material changes to be made. 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
<div></div>	<div>Introduction to Mutual Funds</div>	<div>20210303</div>

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 9c: CERTS - Edit a CE Activity

Select all of the applicable boxes of the material and/or non-material changes to be made. (Figure 9d on next page).

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 9d: CERTS – Edit an Activity

6.3.1 Material Change

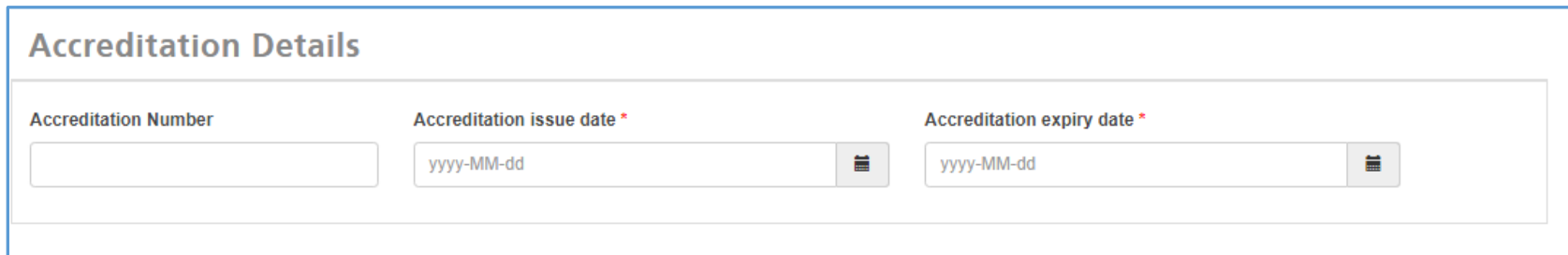
Once selections are made, the corresponding boxes will appear to make the changes (Figure 9e).

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 9e: CERTS – Edit an Activity

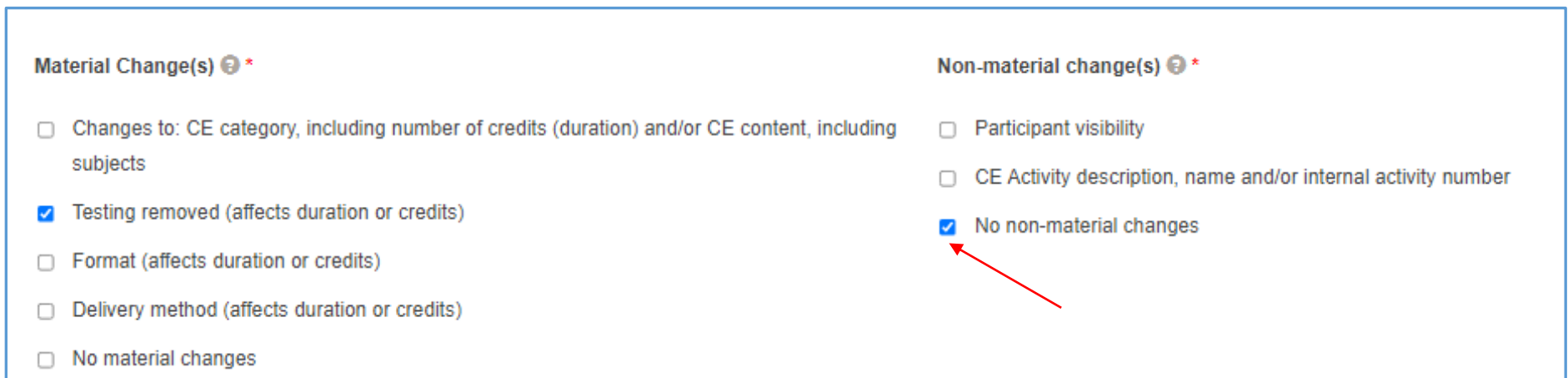
Once completed, the user will click the submit button. The user will be prompted back to the original window to which they will need to fill in the “Accreditation Issue Date” and “Accreditation Expiry Date” (Figure 9f).



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").

Figure 9f: 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 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: "Material Change(s) ? *" and "Non-material change(s) ? *".

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

A red arrow points to the "No non-material changes" checkbox.

Figure 9g: CERTS – Continuing Education Activity Revisions

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

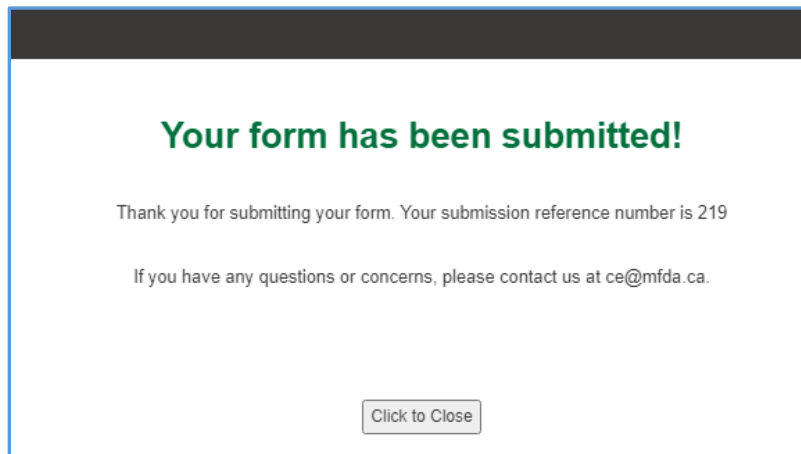


Figure 9h: CERTS – Form Submitted Successfully

6.3.2 Non Material Changes - 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.

Figure 9i: 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 9j: CERTS – Continuing Education Activity Revisions

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

6.3.3 Non-Material Changes - 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

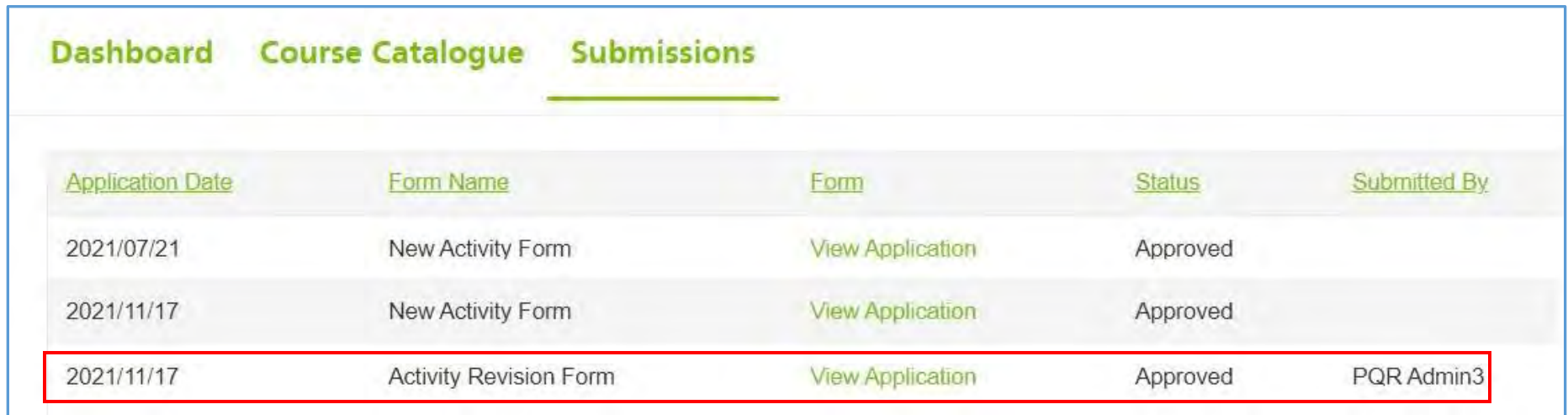
Figure 9k: CERTS – Activity Visibility

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 no 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 9I).



Dashboard	Course Catalogue	Submissions			
Application Date	Form Name	Form	Status	Submitted By	
2021/07/21	New Activity Form	View Application	Approved		
2021/11/17	New Activity Form	View Application	Approved		
2021/11/17	Activity Revision Form	View Application	Approved	PQR Admin3	

Figure 9I: CERTS – List of Submissions

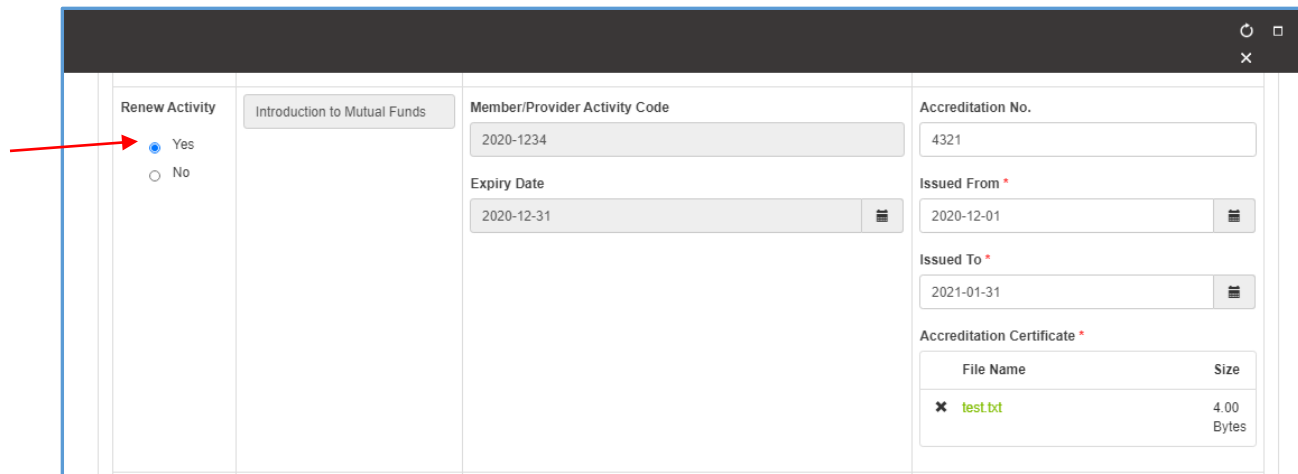
6.4 Renew an Activity

The 'Renew an Activity' function can be used to renew an expiring activity and to add new accreditation details. To renew an expiring activity, click on the Renew Activities link on the Dashboard (Figure 10a). Note: A renewal notification with a link will begin appearing 30 days before the expiration date until the activity is renewed.



Figure 10a: 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, Issue Date and Certificate) (Figure 10b). If the activity does not need to be renewed, select the **No** radio button. Once completed, click **Submit**.

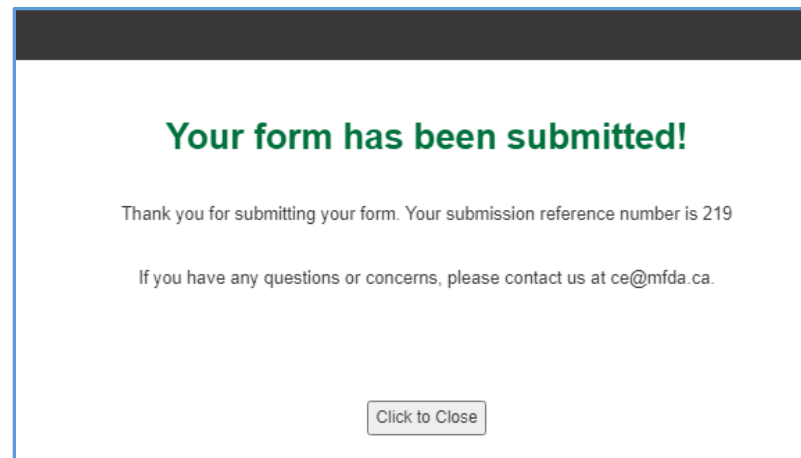


The screenshot shows a web form titled "CERTS - Renew an Activity". The form is divided into several sections. On the left, under "Renew Activity", there are two radio buttons: "Yes" (selected, indicated by a blue dot and a red arrow) and "No". To the right of this is a tab labeled "Introduction to Mutual Funds". Further right, there are input fields for "Member/Provider Activity Code" (containing "2020-1234") and "Expiry Date" (containing "2020-12-31" with a calendar icon). To the right of these are input fields for "Accreditation No." (containing "4321"), "Issued From" (containing "2020-12-01" with a calendar icon), and "Issued To" (containing "2021-01-31" with a calendar icon). At the bottom right, there is a section for "Accreditation Certificate" which contains a table with two columns: "File Name" and "Size". The table has one row with the file name "test.txt" (preceded by a red 'x' icon) and a size of "4.00 Bytes".

File Name	Size
✖ test.txt	4.00 Bytes

Figure 10b: CERTS - Renew an Activity

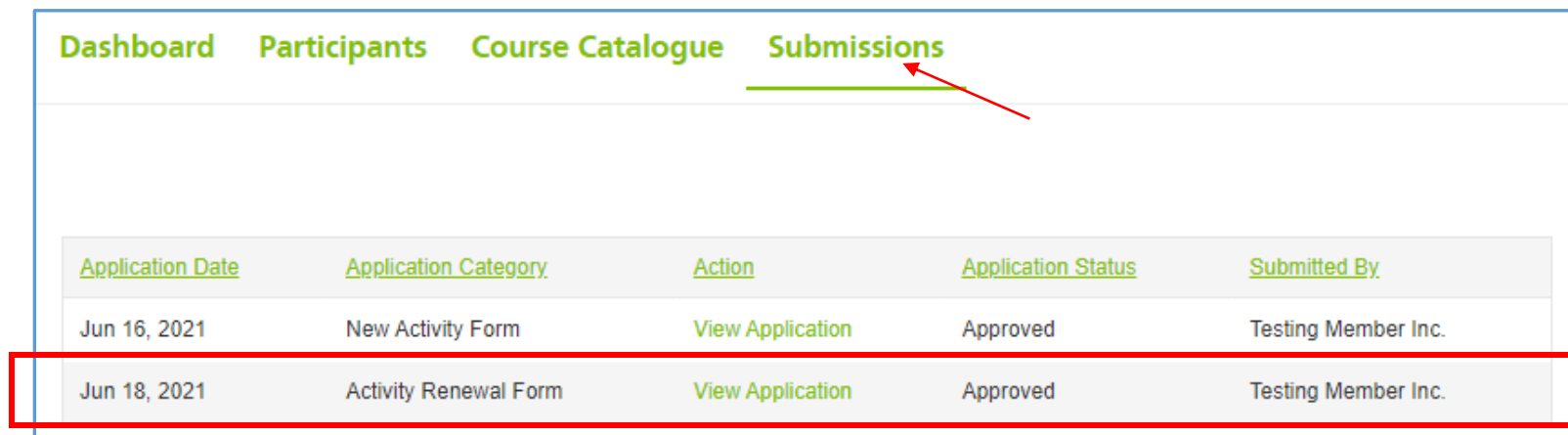
Once submitted successfully, a new window will open showing successful completion (Figure 10c).



The screenshot shows a confirmation window with a dark header bar. The main content area has a green heading "Your form has been submitted!". 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 center, there is a button labeled "Click to Close".

Figure 10c: 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 10d).



The screenshot shows a dashboard with four main navigation links: Dashboard, Participants, Course Catalogue, and Submissions. The Submissions link is highlighted with a green underline and a red arrow points to it. Below the navigation bar is a table with five columns: Application Date, Application Category, Action, Application Status, and Submitted By. The table contains two rows of data. The second row, representing an activity renewal form submitted on Jun 18, 2021, is highlighted with a red border.

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 10d: CERTS - Renew an Activity

7 VIEW INVOICES

Within three business days of posting an activity, CERTS will compile all the new CE activities posted to the Course Catalogue within that period and generate a detailed invoice for the Provider User Admin contact. The User Admin will receive an email notification that a new invoice has been generated (Figure 11a).

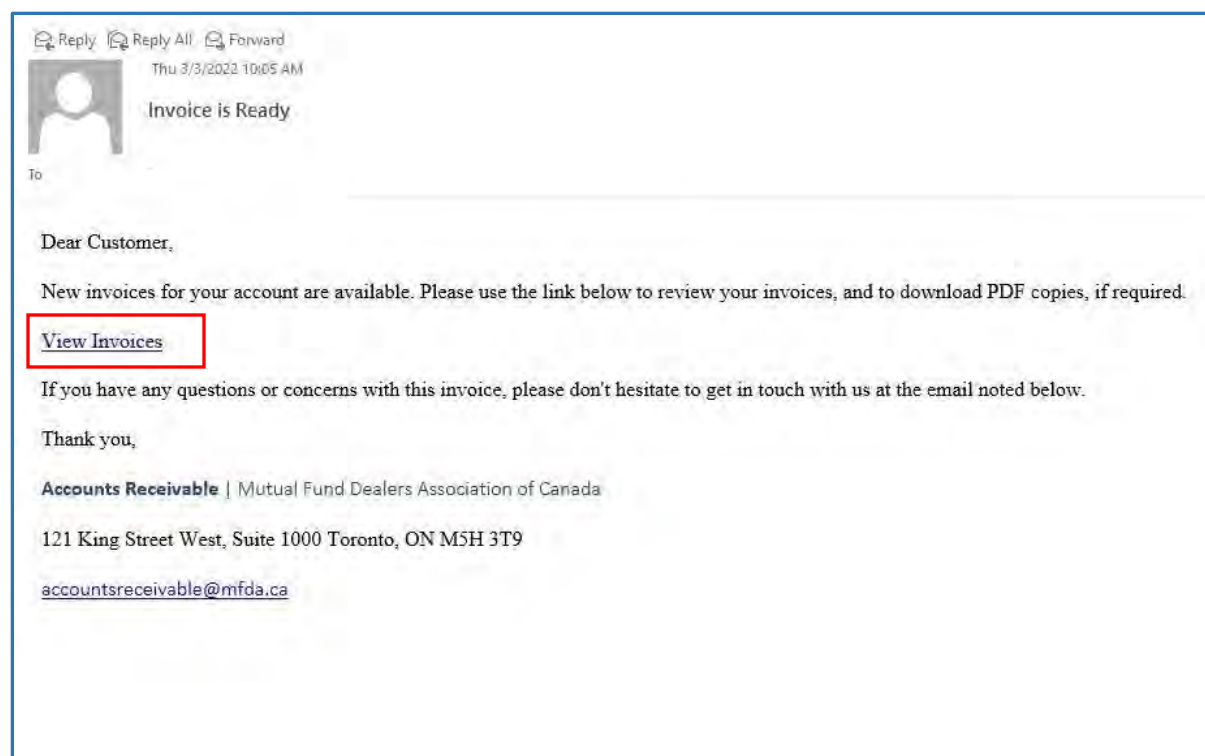


Figure 11a: View Invoices

The Provider may click the link the “View Invoice” link in the email. The link will take you directly to the View Invoices screen in CERTS. Alternatively, a Provider may access their invoices by logging into CERTS and clicking the **View Invoices** link in the CERTS Action Menu (Figure 11b).

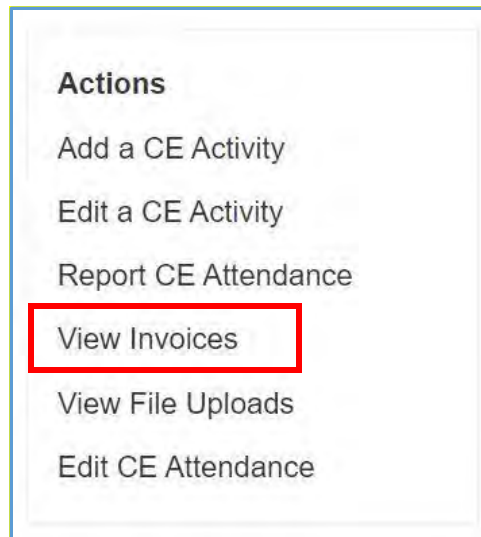


Figure 11b: CERTS - View Invoices

For a list of all invoices, simply click “Find” and all invoices will be listed in the search results from most recent to least recent. The search feature may also be used to find a specific invoice date, or to search for the invoice pertaining to a specific Purchase Order or Activity No (Figure 11c). Click View Invoice on the row of the desired record and new window will open with a view of the invoice will appear.

Order Date	Invoice Number	Total Charges	Invoice
Mar 02, 2022	5	\$169.50	View Invoice
Mar 03, 2022	6	\$339.00	View Invoice

Figure 11c: CERTS - View Invoices

The Provider may choose to download the invoice as a PDF onto their computer (Figure 11d). Invoices are payable upon receipt and must be paid electronically.

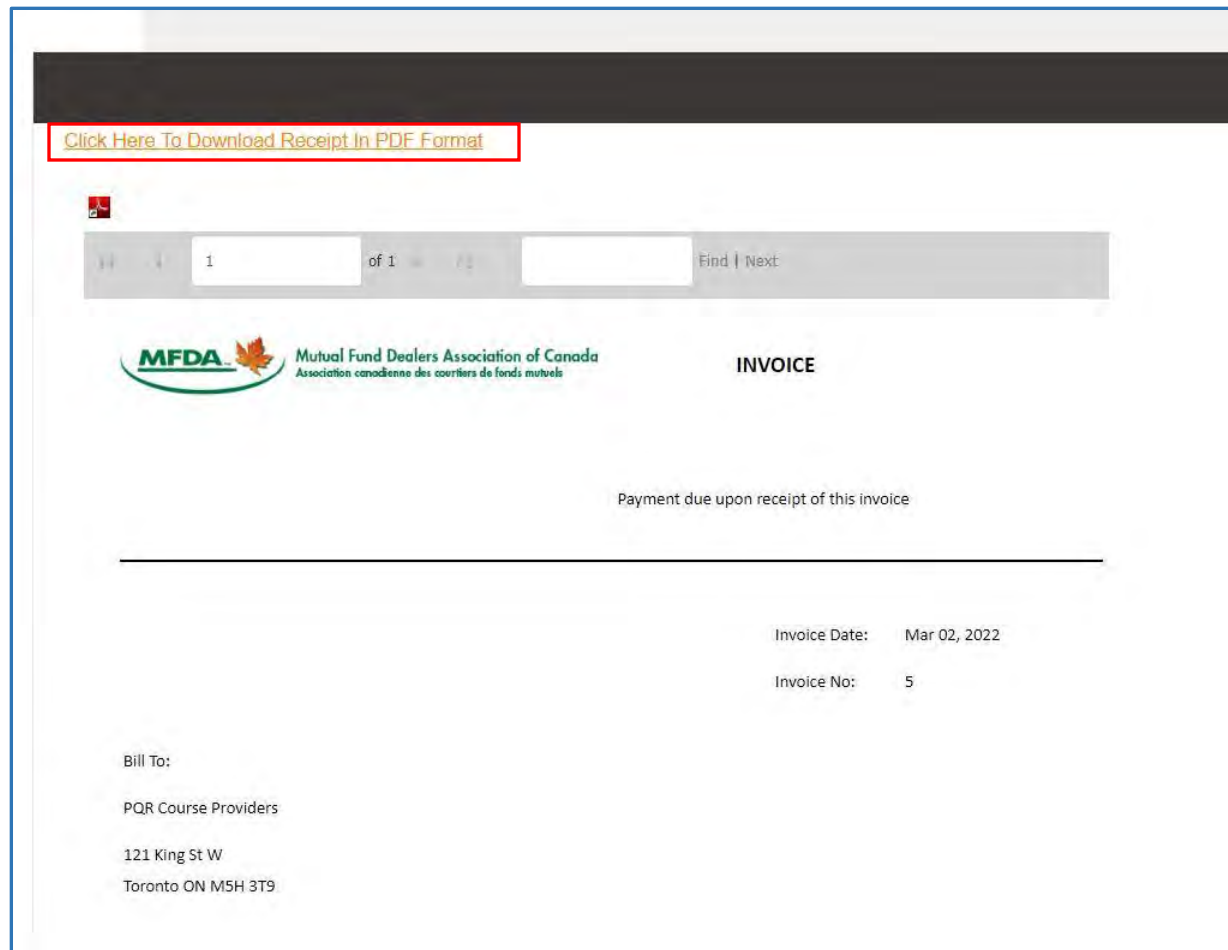


Figure 11c: CERTS - View Invoices

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 a CE Attendance** option from the Dashboard to report attendance for Participants (Figure 12a).

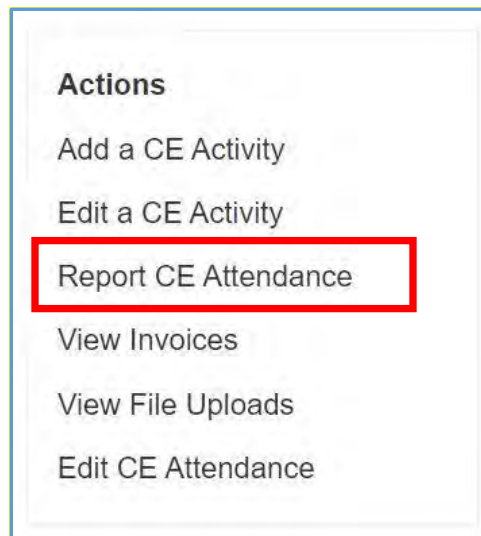


Figure 12a: CERTS - Report a CE Attendance

The Provider will have the option to search for the Participant for which they wish to report attendance to a CE activity (See 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 12b).

A screenshot of a web form titled 'CE Activity Attendance Reporting'. The form contains two input fields: 'Participant MFDA ID' and 'Full Name Contains'. Below these fields is a green button labeled 'Find'.

Figure 12b: CERTS - Report a CE Attendance

Select **Report Activity** of the applicable Participant from the search results (Figure 12c).

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

Figure 12c: CERTS - Report a CE Attendance

The **CE Activity 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 12d).

CE Activity Attendance Reporting Form

Selected Participant
CHARLES BURK

▶ Participant's Attendance

Click to Find Your Activity

Activity Search File Name Size

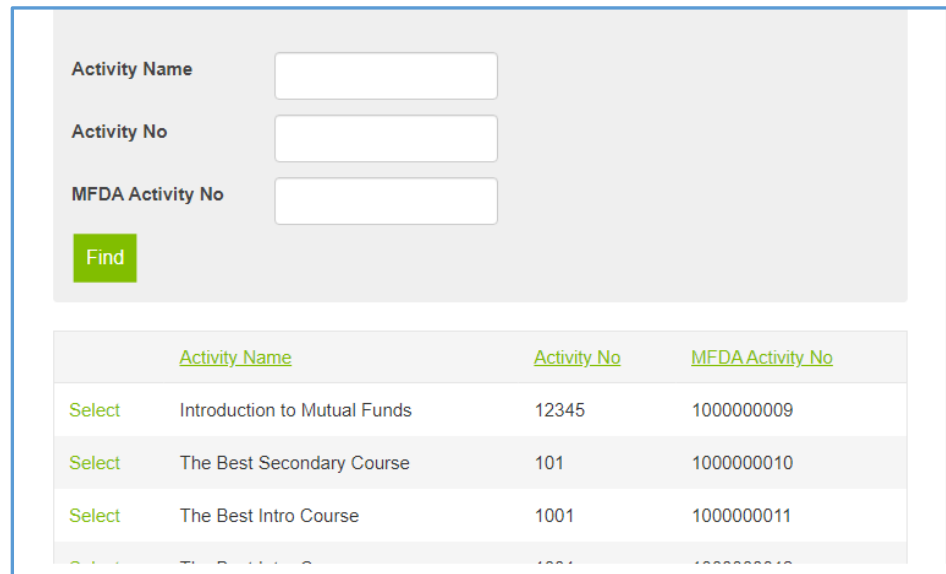
+ Add Another

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

Cancel Save Submit

Figure 12d: CERTS - Report CE Attendance

A new window will appear that will allow the user 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 12e). Once the correct activity is found, click “Select” next to the course name.



	<u>Activity Name</u>	<u>Activity No</u>	<u>MFDA Activity No</u>
Select	Introduction to Mutual Funds	12345	1000000009
Select	The Best Secondary Course	101	1000000010
Select	The Best Intro Course	1001	1000000011

Figure 12e: CERTS - Report CE Attendance

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Enter the date the CE Activity was completed (Figure 12f).

The screenshot shows a web form titled "Click to Find Your Activity". It includes an "Activity Search" button, a text input field with a placeholder "yyyy-MM-dd", and a calendar icon. A date picker is open, showing the month of September 2021. The date "8" is selected and circled. Below the search section is a "+ Add Another" button. At the bottom are "Cancel", "Save", and "Submit" buttons. To the right of the date picker is a "File Name" section with a dashed box and a file icon.

Figure 12f: CERTS - Report CE Attendance

To provide a copy of the completion certificate, select the **Browse** link under the file name section (Figure 12g). A window will appear on screen to locate the certificate on your local computer. Once found, select the file name and click "Open". Successfully attached certificates will appear before the Activity row (Figure 12h).

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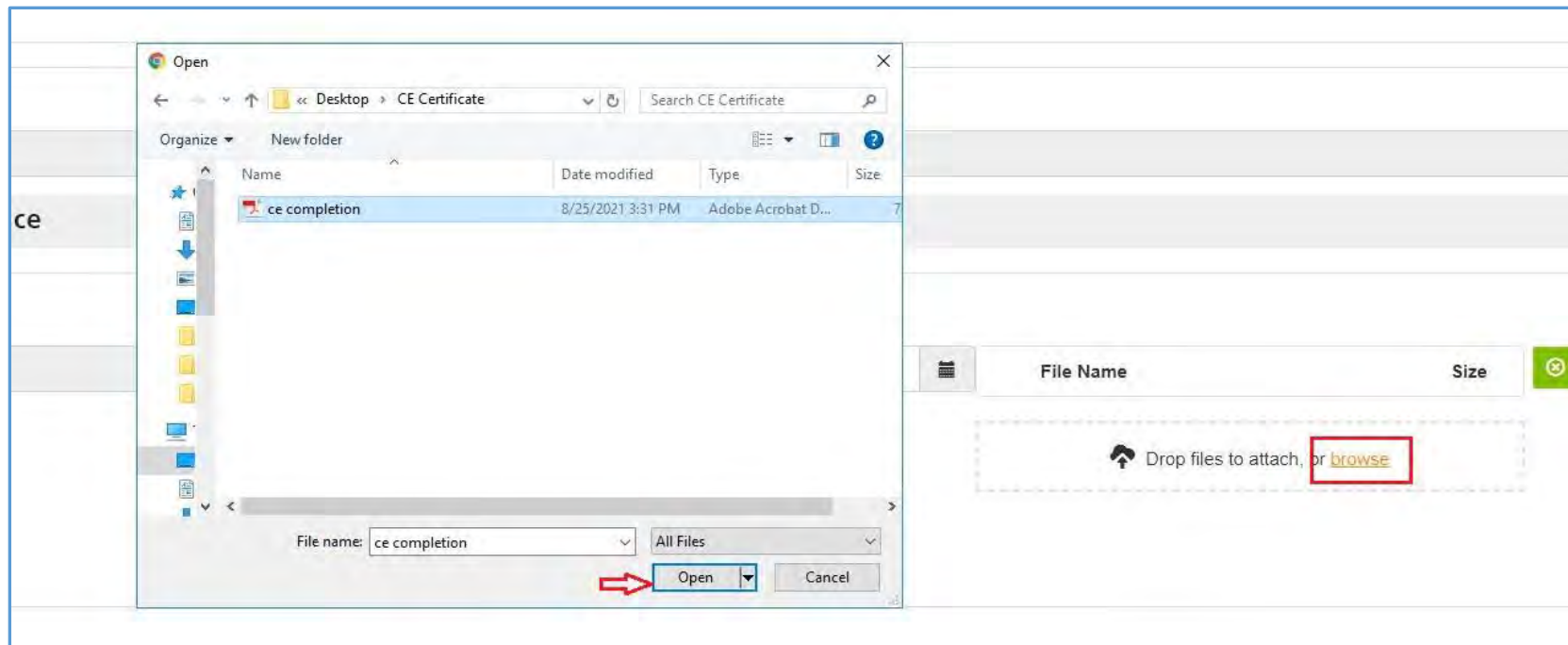


Figure 12g: CERTS – Form Successfully Submitted

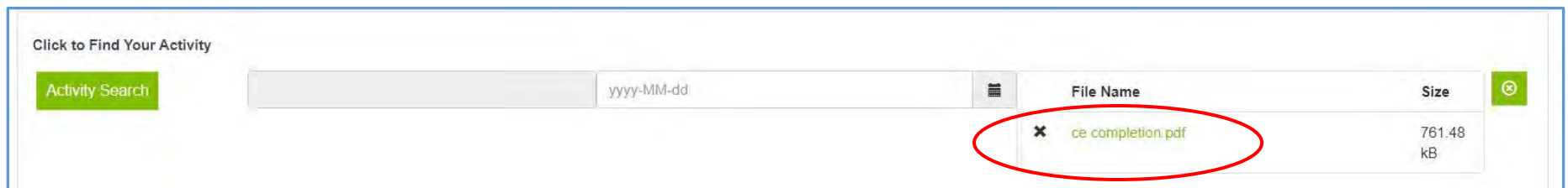


Figure 12h: CERTS – Form Successfully Submitted

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 12i).

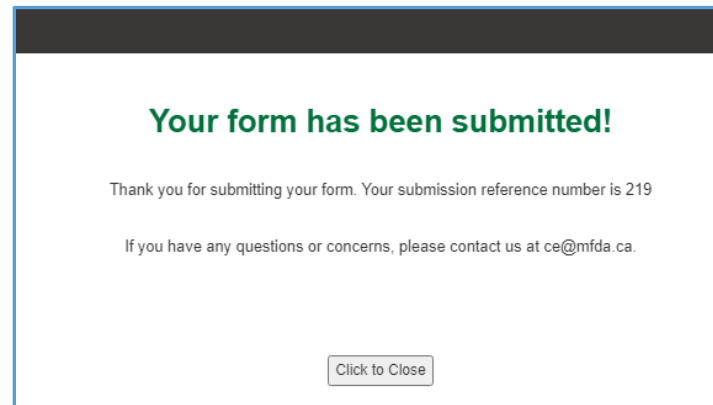


Figure 12i: CERTS – Form Successfully Submitted

8.1 Edit CE Attendance

The **Edit CE Attendance** function can only be used to remove a previously reported attendance record for a Participant. To remove an attendance record, click on the **Edit CE Attendance** link on the Dashboard (Figure 13a). Enter the applicable search criteria and click on **Find** to view results (Figure 13b).

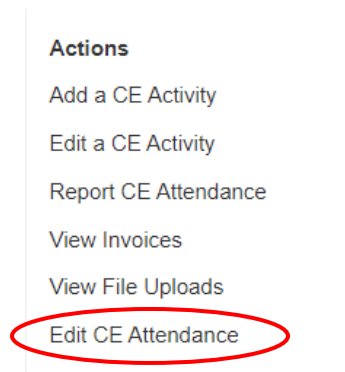


Figure 13a: CERTS - Edit CE Attendance

View CE Attendance

MFDA ID

Full Name Contains

Activity Name Contains

Find

Figure 13b: CERTS - Edit CE Attendance

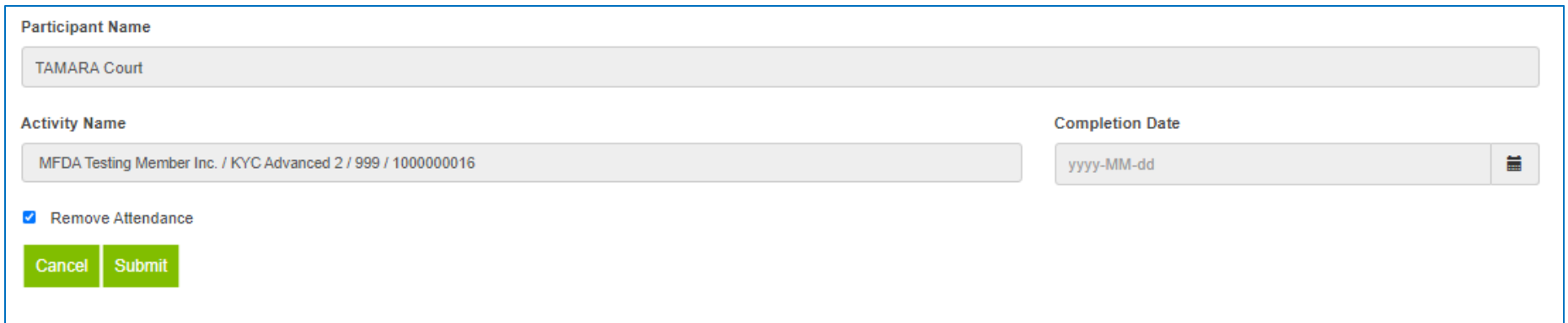
Select the Activity Name hyperlink next to the corresponding Participant whose record you wish to remove (Figure 13c).

Export ▾				
<u>Participant ID</u>	<u>Participant Name</u>	<u>Activity Name</u>	<u>Activity Completion Date</u>	<u>Entered By</u>
78212	TAMARA Court	KYC Advanced 2		TAMARA Court
78212	TAMARA Court	Enhanced KYC and Suitability (CFR Series)	3/22/2022	TAMARA Court

Figure 13c: CERTS - Edit CE Attendance

Check the box to **Remove Attendance** and click on **Submit**.

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The screenshot shows a web form for editing CE attendance. It includes a 'Participant Name' field with the value 'TAMARA Court'. Below this are two fields: 'Activity Name' with the value 'MFDA Testing Member Inc. / KYC Advanced 2 / 999 / 1000000016' and 'Completion Date' with the value 'yyyy-MM-dd'. There is a checkbox labeled 'Remove Attendance' which is checked. At the bottom are two green buttons: 'Cancel' and 'Submit'.

Participant Name

TAMARA Court

Activity Name

MFDA Testing Member Inc. / KYC Advanced 2 / 999 / 1000000016

Completion Date

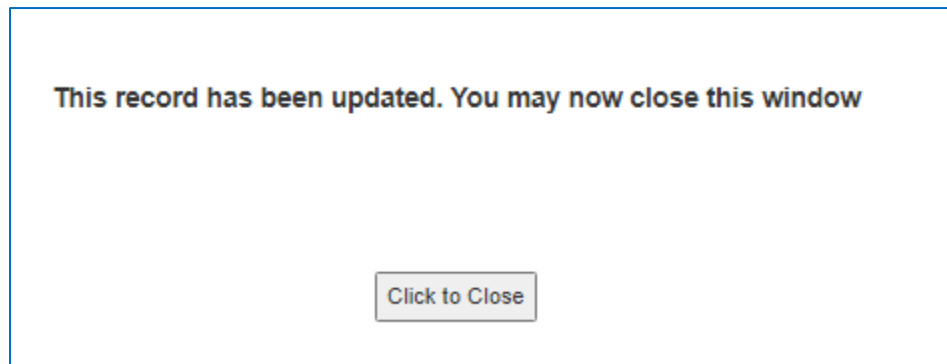
yyyy-MM-dd

☒ Remove Attendance

Cancel Submit

Figure 13d: CERTS - Edit CE Attendance

A confirmation message will appear after submission.



The screenshot shows a confirmation message in a light gray box. The text reads: 'This record has been updated. You may now close this window'. Below the text is a button labeled 'Click to Close'.

This record has been updated. You may now close this window

Click to Close

Figure 13e: CERTS - Edit CE Attendance