



Application for Recognition as a Third Party Accreditor

Please contact the CIRO at mutualfunddealerCE@ciro.ca prior to submitting your application.

Applicant Information					
Name of Applicant:					
Address:					
City:		Province:		Postal Code:	
Telephone:		Ext:		Fax:	
Email:		Website:			
Contact Details					
Contact Person:		Title:			
Contact Person Phone:		Email:			
Application Details					
The Applicant intends to (select all that apply):					
<input type="checkbox"/> Self-accredit (accredit their own CE activities)					
<input type="checkbox"/> Accredit the courses of other Providers					

Third Party Accreditor Experience

In order to be considered for recognition as a Third Party Accreditor, the Applicant must have at least 5 years' experience in acting as a non-profit professional body which: administers established proficiency requirements for a certification or designation related to the securities industry, and have a code of ethics, and an enforcement regime which includes a formal, transparent disciplinary process. Applicants must provide the required documentation requested in the next section to support this.

Required supporting documentation:

I have attached each of the following items.

1. An overview of the organization, its history and what its mandate is;
2. Name of the certification or designation administered;
3. Details of the certification or designation including: when it was established, what type of professional holds it, and the number of active holders;
4. Requirements for obtaining and maintaining the certification or designation;
5. Code of ethics for holders of the certification or designation;
6. Details of the organization's processes and benchmarks for handling complaints.
7. Details of the organization's formal and transparent disciplinary process including;
 - a. The form and structure of the disciplinary hearing and any rules of procedures which apply
 - b. How notice of any proceeding is provided to the subject of the discipline (i.e., the respondent) and the respondent's rights of participation in the disciplinary process
 - c. Who adjudicates the disciplinary hearings and whether decisions will be issued verbally, in writing or both
 - d. The range of sanctions which can be imposed
 - e. A description of any review or appeal mechanism available
 - f. Where to find information relating to disciplinary hearings and what information will be available
8. The Applicant's corporate organizational chart that shows ultimate ownership of the Applicant and related entities;
9. The Applicant's internal organizational chart;
10. The Applicant's accreditation policies and procedures;
11. Provide a detailed outline of how the Applicant's accreditation aligns with the CISO's requirements for accreditation as outlined in MFD Rule 900 *Continuing Education ("CE") Requirements*;
12. Provide a detailed outline of how the Applicant's resulting accreditation aligns with the credit categories outlined in MFD Rule 900. Applicants must, at a minimum, outline how their classification aligns with Business Conduct Credits (including those that qualify as Ethics) and Professional Development Credits. Depending on how detailed the Member's accreditation categories are, they should also outline alignment with the example subjects set out in MFD Rule 900; and
13. If applying as a self-accreditor, the Applicant's policy to address potential conflicts of interest, including written policies and internal structures in place to address conflicts of interest.

Application fee for Third Party Accreditors

Applications for Recognition as a Third Party Accreditor must be accompanied by payment of the non-refundable fee of \$1,500 plus HST. Please contact CIRO at mutualfunddealerCE@ciro.ca prior to submitting your application for further information on remitting this fee.

Ongoing recognition and fees.

In order to continue to be recognized as a Third Party Accreditor, the Applicant will be required to submit an attestation to the CIRO, generally before the commencement of each cycle, that there have been no material changes to the information provided in the original Application. Please note that if there are material changes, the Applicant must submit those to the CIRO in a timely manner as per the *CIRO MFD Continuing Education Third Party Accreditor Agreement*.

Recognized Third Party Accreditors must pay a non-refundable renewal fee of \$1,500 for each CE cycle. This fee may be subject to change.

Third Party Accreditor Agreement

I have attached a signed copy of the *CIRO MFD Continuing Education Third Party Accreditor Agreement* from Appendix I.

Signature of Applicant

I, the undersigned, acknowledge the above terms and have provided the required information, documentation, agreement and application fee payment.

Signature of Person Responsible

Date DD/MM/YY

Title

Appendix I

CIRO MFD Continuing Education Third Party Accreditor Agreement

Agreement between _____ (the “Third Party Accreditor”) and the Canadian Investment Regulatory Organization (the “Corporation”) for the Third Party Accreditor to be recognized by the Corporation as a provider of accreditation services under the CIRO MFD Continuing Education (“CE”) Program.

In consideration of the recognition by the Corporation of the Third Party Accreditor as a provider of accreditation services under the CIRO MFD CE Program, the Third Party Accreditor agreed as follows:

Acknowledgement

The Third Party Accreditor acknowledges that CIRO MFD CE Program consists of the Continuing Education (CE) program set out by the Corporation in the MFD Rule 900 *Continuing Education (“CE”) Requirements*, as they may be amended and supplemented from time to time. It shall also include any guidance issued relating to the MFD Rule 900.

The Third Party Accreditor acknowledges and agrees that the Corporation is not obligated to recognize the Third Party Accreditor as a provider of accreditation services, and that its accreditation may be terminated or suspended in accordance with the provisions set out under “Termination and Suspension”.

Capitalized terms not defined in this agreement shall have the meaning set out in MFD Rule 900

Roles and Responsibilities

The Third Party Accreditor agrees to:

- comply with the Accreditation Standard and related requirements outlined in MFD Rule 900 *Continuing Education (“CE”) Requirements*.
- abide by the related record keeping requirements of the CIRO MFD CE Program, including maintaining books and records to evidence accreditation in sufficient detail to evidence compliance with CIRO requirements. Such books and records include:
 - the materials submitted by a Provider in order to obtain accreditation;
 - the documentation, correspondence and working papers that led to the accreditation;
 - the final accreditation decision and rationale for the decision, and
 - the accreditation certificate and other documentation provided to the Provider notifying them of the Third Party Accreditor’s decision.
- provide, upon request by the CIRO, any books and records relating to the CE activity accreditation;
- take all reasonable steps to ensure that all employees and representative of the Third Party Service Provider are knowledgeable about the CIRO MFD CE Program requirements and current guidance ;
- comply with the additional terms and conditions set in Appendix A;
- attest, upon request by the Corporation and at the commencement of each CIRO MFD CE Cycle, that there have been no material changes to the information provided in the *Application for Recognition as a Third Party Accreditor*. Where there have been material changes to such information, the Third Party Accreditor shall notify the Corporation:
 - No later than 60 days prior to the implementation of undertaking self-accreditation;
 - No later than 60 days prior to material changes to
 - Accreditation policies and procedures

- Details of the certification or designation administered including:
 - Name of the certification or designation administered;
 - Requirements for obtaining and maintaining the certification or designation;
 - Code of ethics for holders of the certification or designation; and
 - Details of the enforcement regime.
 - No later than 5 days subsequent to the change in:
 - Contact Person; and
 - Ownership.
 - advise the Corporation at least 60 days prior to December 1 of each odd numbered year (which is the commencement of each new CE cycle) of its intention to request renewal of its recognition as a Third Party Accreditor; and
 - pay any and all fees as set out in Appendix B.

Termination and Suspension

The Corporation may without notice terminate or suspend the recognition of the Third Party Accreditor at its sole discretion and for any reason including, but not limited to, for failure to abide by the terms and conditions in this agreement.

Execution

Each of the Corporation and the Third Party Service Provider agrees that upon execution of this agreement, they agree to be bound thereby as of the later of the date noted below.

For the Third Party Accreditor

Signature

Date

Name

Title

For the Corporation

Signature

Date

Name

Title

Appendix A – Additional Terms and Conditions

Appendix B - Fee Schedule

Application for Recognition as a Third Party Accreditor: \$1500

Renewal of Recognition as a Third Party Accreditor: \$1500/per cycle. Due within 45 days of issuance of CIRO invoice.