

**Important information**

This form must be completed by any training provider that wants to offer an initial training program designed to enable participants to qualify for the AMF's exams in mortgage brokerage. It may be submitted at the same time as the Application for recognition – Initial training program.

**GENERAL INFORMATION**

| PART 1 – IDENTIFICATION OF THE PROVIDER (in block letters)                                   |   |                   |  |             |  |  |  |
|--|---|-------------------|--|-------------|--|--|--|
| INFORMATION ABOUT THE PROVIDER   |   |                   |  |             |  |  |  |
| Name of provider   |   |                   |  |             |  |  |  |
| Provider No. (10 digits)   |   |                   |  |             |  |  |  |
| Language of correspondence: French <input type="checkbox"/> English <input type="checkbox"/> |   |                   |  |             |  |  |  |
| CONTACT INFORMATION  |   |                   |  |             |  |  |  |
| Civic No.  |   | Street            |  | Suite       |  |  |  |
| City   |   | Province          |  | Postal code |  |  |  |
| Telephone (main)   |   | Telephone (other) |  | Ext.        |  |  |  |
| Website  |   | E-mail            |  |             |  |  |  |
| Type of organization   | <input type="checkbox"/> Association<br><input type="checkbox"/> Educational institution<br><input type="checkbox"/> Training organization<br><input type="checkbox"/> Training department – brokerage firm |                   |  |             |  |  |  |

| IDENTIFICATION OF THE PROGRAM ADMINISTRATOR                  |            |                      |  |             |  |  |  |
|--|------------|----------------------|--|-------------|--|--|--|
| Client No. (10 digits)                                       |            |                      |  |             |  |  |  |
| Ms. <input type="checkbox"/><br>Mr. <input type="checkbox"/> | First name |                      | Last name  |             |  |  |  |
| Date of birth: ____ / ____ / ____<br>day    month    year    |            |                      | Language of correspondence: French <input type="checkbox"/> English <input type="checkbox"/> |             |  |  |  |
| CONTACT INFORMATION  |            |                      |  |             |  |  |  |
| Civic No.  |            | Street               |  | Suite       |  |  |  |
| City   |            | Province             |  | Postal code |  |  |  |
| Telephone (residence)  |            | Telephone (business) |  | Ext.        |  |  |  |
| Cell phone   |            | E-mail               |  |             |  |  |  |



**INFORMATION SECURITY MEASURES**

What measures are taken to ensure that the information obtained during training registration, delivery and evaluation is validated and protected?

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*Please attach a document describing the measures taken for each of the steps described above.*

**COMPLAINT MANAGEMENT**

What processes are in place to process student complaints (filing, reception, analysis, timeframe, communication, etc.)?

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*Please attach your complaint management policy.*

**PEDAGOGICAL STRUCTURE**

What key steps are taken when developing your training activities (needs analysis, program design, etc.)?

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*Please attach a document explaining the process used in developing your training activities.*

**DOCUMENTS TO ATTACH**

The following documents are required:

- Program administrator's CV
- Organizational chart
- CV of each program committee member
- Information security conditions
- Complaint management policy
- Document(s) explaining the training development process

**DECLARATION****Important**

*The program administrator must complete this declaration.*

I declare that the organization I represent:

1. undertakes to comply with confidentiality and access to information legislation in force.  Yes  No
2. has sufficient financial resources to maintain viable training programs for several years.  Yes  No
3. agrees to cooperate with any enquiry concerning the programs offered, its trainers or registered students. The organization also agrees to cooperate with any regulatory organization or any organization mandated by a jurisdiction to maintain or restore law and order.  Yes  No
4. agrees to cooperate with any audit of its program or training activities and certification practices.  Yes  No

\_\_\_\_\_ Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Signature of program administrator

year month day

You are reminded that, in Québec, any private or public enterprise that offers a training program is subject, depending on the situation that applies to it, to the obligations set out in the *Act respecting the protection of personal information in the private sector*, CQLR, c. P-39.1, or in the *Act respecting access to documents held by public bodies and the protection of personal information*, CQLR, c. A-2.1, which are administered by the Commission d'accès à l'information.







**TRAINING DELIVERY IN MULTIPLE LANGUAGES**

For training delivered in multiple languages, please describe the measures in place to ensure equivalent language quality.

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How do you ensure that the qualifications of your trainers are equivalent in each of the languages in which the training is delivered?

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Do you use the services of professional translators or revisers?

- Yes
- No

If so, do you use them systematically?

- Yes
- No





**TRAINERS**

Describe your trainer recruitment policy (qualifications required, experience, licences, etc.):

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Do you verify the credentials of your trainers (integrity, credit history and criminal and disciplinary records)?

- Yes  
 No

If so, please explain what verifications are done.

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*Please attach your recruitment policy.*

**DOCUMENTS TO ATTACH**

**The following documents are required:**

- Description of program or activity delivery conditions
- Description of academic fraud and plagiarism prevention measures
- Learning environment policies
- Participant support policy
- Trainer recruitment policy and selection criteria

**PART 5 – ASSESSMENT OF LEARNING**

**DEVELOPMENT AND MANAGEMENT OF QUESTION BANKS**

**Important**

*This part relates to learning assessment. Learning must be assessed in a context that ensures the validity and reliability of results. Please provide detailed answers and the required documentation, if applicable.*

What are the assessment requirements for your training program or activity (number of exams, passing grade, type of exam, correction method, etc.)?

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*Please attach your exam security and question bank management policy.*

Do you have separate question banks for your formative and summative assessments?

- Yes
- No

What are the key steps in developing your question banks?

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**EXAM DEVELOPMENT PROCESS**

Are your certification exams developed by industry professionals?

Yes

No

Describe your exam development process (content selection and validation, exam structure, grading scales, answer keys, etc.):

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*Please attach your exam development procedure, if applicable.*

**ADMINISTRATION OF EXAMS**

Describe your exam administration procedure.

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*Please attach your exam administration, supervision and correction policy.*

Describe the rules in effect during exam sessions (general rules, *force majeure*, plagiarism, etc.).

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Describe the measures in place to ensure exam security and confidentiality.

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*Please attach your exam security policy.*

Describe the item analyses completed on your exam question banks and the exam question update procedures.

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## DOCUMENTS TO ATTACH

The following documents are required:

- Exam security and question bank management policy
- Exam development procedure
- Exam administration, supervision and grading policy
- Exam security policy

**PART 6 – PROGRAM EVALUATION AND CONTINUOUS IMPROVEMENT****Important**

*This part relates to the evaluation and continuous improvement of your training programs or activities.*

Do you perform post-training evaluations?

- Yes  
 No

If so, please indicate the evaluation conditions and the usefulness of the data collected.

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*Please attach a summary of previously completed post-training evaluations.*

If applicable, indicate the accepted satisfaction rate for your training activities: \_\_\_\_\_

Indicate how often you update your training activities: \_\_\_\_\_

**DOCUMENT TO ATTACH**

**The following document is required:**

- Summary of post-training evaluations

| PART 7 – FEES PAYABLE AND PAYMENT   |            |  |   |
|---|------------|--|---|
| CLIENT INFORMATION  |            |  |   |
| Client No. (10 digits)  |            |  |   |
| Ms. <input type="checkbox"/>  | First name | Last name  |   |
| Mr. <input type="checkbox"/>  |            |  |   |
| Name of firm  |            |  |   |
| FEES PAYABLE FOR THE PERIOD FROM JANUARY 1, 2024 TO DECEMBER 31, 2024<br>(Please note that fees are non-refundable.)                  |            |  |   |
| Application for recognition of a provider of initial training not subsidized by the Ministère de l'Éducation, du Loisir et du Sport*: |            | <input type="checkbox"/> \$260.00  | <p>If you are paying by credit card, please carry the amount over to the space below marked with an *. If the amount shown is greater than the amount due, we reserve the right to correct this amount and adjust it downwards.</p> |
| METHOD OF PAYMENT   |            |  |   |
| <input type="checkbox"/> Cheque<br><input type="checkbox"/> Money order   |            | Please make your payment payable to the order of the <b>Autorité des marchés financiers</b> and date it on <b>the day on which you send your form.</b>   |   |
| <input type="checkbox"/> Visa<br><input type="checkbox"/> MasterCard<br><input type="checkbox"/> American Express                     |            | <p>I authorize the AMF to charge the amount of \$_____ * to my credit card.</p> <p>Card No.:     _____ / _____ / _____ / _____</p> <p>Expiry date: _____ / _____<br/>                  month     year</p> <hr/> <p>Name of cardholder<br/><b>(in block letters)</b></p> <hr/> <p>Signature of cardholder</p> |   |
|   |            | Date: _____ / _____ / _____<br>year     month     day  |   |

\*Please note that the application fees are waived for organizations subsidized by the Ministère de l'Éducation, du Loisir et du Sport.

The AMF only accepts forms sent by **mail**.  
Forms sent by e-mail or fax will **not** be accepted.

Send your form and payment to the following address:

**Autorité des marchés financiers**  
Place de la Cité, tour Cominar  
2640, boulevard Laurier, bureau 400  
Québec (Québec) G1V 5C1

Please do not delete this page when printing the form.

This page was intentionally left blank because **Part 7 - Fees payable and payment** must be printed on a single page, without any information on the back.



# APPLICATION FOR RECOGNITION PROVIDER OF INITIAL TRAINING MORTGAGE BROKERAGE QUALIFICATION PROGRAM APPENDIX 1: CHECKLIST

|                            |  |
|----------------------------|--|
| <b>Name of provider</b>    |  |
| <b>Date of application</b> |  |

When applying for recognition in AMF E-Services, make sure to upload all of your documents. Please note that any incomplete application for recognition will not be evaluated.

Use this checklist to ensure you have submitted all the documents necessary to properly process your application.

| No.  | Document name   | Enclosed as an attachment | Information entered in the form (page No.) |
|--|---|---------------------------|--|
| <b>PROGRAM MANAGEMENT – ADMINISTRATIVE STRUCTURE</b> |   |                           |  |
| 1  | Program administrator's CV  |                           |  |
| 2  | Organizational chart  |                           |  |
| 3  | Program committee members' CVs  |                           |  |
| 4  | Information security conditions   |                           |  |
| 5  | Complaint management policy   |                           |  |
| 6  | Document(s) explaining the training development process                             |                           |  |
| <b>PEDAGOGICAL PLANNING</b>                          |   |                           |  |
| 7  | Description of the pedagogical planning process                                     |                           |  |
| <b>DELIVERY OF TRAINING PROGRAM OR ACTIVITY</b>      |   |                           |  |
| 11   | Detailed description of the delivery conditions of the training program or activity |                           |  |
| 12   | Document describing fraud and plagiarism prevention measures                        |                           |  |
| 13   | Learning environment policies   |                           |  |
| 14   | Participant support policy  |                           |  |
| 15   | Trainer recruitment policy and selection criteria                                   |                           |  |
| <b>ASSESSMENT OF LEARNING</b>                        |   |                           |  |
| 16   | Exam security and question bank management policy                                   |                           |  |
| 17   | Exam development procedure  |                           |  |
| 18   | Exam administration, proctoring and grading policy                                  |                           |  |
| 19   | Exam security policy  |                           |  |
| <b>PROGRAM EVALUATION AND CONTINUOUS IMPROVEMENT</b> |   |                           |  |
| 20   | Post-training evaluations   |                           |  |

| <b>Training provider recognition criteria</b>  |   |   |  |
|--|---|---|--|
| <b>A<br/>Very satisfactory</b>   | <b>B<br/>Satisfactory</b>   | <b>C<br/>Somewhat satisfactory</b>  | <b>D<br/>Unsatisfactory</b>  |
| <b>Component considered: Program management<br/>Evaluation criteria: Clarity of structure</b>  |   |   |  |
| <b>Administrative structure</b>  |   |   |  |
| <p>A description of the program committee and a clear, well-designed organizational chart are available. These present a detailed and satisfactory picture of the provider's organizational structure, including its by-laws, reporting lines, functional lines, and roles and responsibilities.</p> <p>The information security and validation measures during registration, delivery and evaluation as well as the complaint management policy are well described and take into account the characteristics of the training activity and the target clientele.</p> | <p>A description of the program committee and a simple, understandable organizational chart are available. These present an overall picture of the provider's organizational structure, including a number of its by-laws, reporting lines, functional lines, and roles and responsibilities.</p> <p>The information security and validation measures during registration, delivery and evaluation as well as the complaint management policy are described in general terms and take into account the characteristics of the training activity and the target clientele.</p> | <p>A description of the program committee and a simple organizational chart are available. These present a partial picture of the provider's organizational structure, including some of its by-laws, reporting lines, functional lines, and roles and responsibilities.</p> <p>The information security and validation measures during registration, delivery and evaluation as well as the complaint management policy are described and take into account some of the characteristics of the target clientele.</p> | <p>There is no description of the program committee and no organizational chart, or if there are, they are difficult to understand, with little information about the by-laws, reporting lines, functional lines, and roles and responsibilities. As a result, there is no clear picture of the provider's organizational structure.</p> <p>The information security and validation measures during registration, delivery and evaluation AND/OR the complaint management policy are/is not described.</p> |

| <b>Training provider recognition criteria</b>   |  |  |  |
|---|--|--|--|
| <b>A<br/>Very satisfactory</b>  | <b>B<br/>Satisfactory</b>  | <b>C<br/>Somewhat satisfactory</b>   | <b>D<br/>Unsatisfactory</b>  |
| <b>Component considered: Program management<br/>Evaluation criteria: Clarity of structure</b>   |  |  |  |
| <b>Pedagogical structure</b>  |  |  |  |
| <p>There is a clear, detailed description of:</p> <ul style="list-style-type: none"> <li>- the scope of the training activity;</li> <li>- the number of trainers assigned to the courses offered and their professional qualifications.</li> </ul> <p>All key steps in the development of the training activity are documented in a detailed and comprehensive manner, including:</p> <ul style="list-style-type: none"> <li>- needs identification and analysis;</li> <li>- training activity design,</li> <li>- delivery;</li> <li>- training activity evaluation and follow-up.</li> </ul> | <p>There is a general, understandable description of:</p> <ul style="list-style-type: none"> <li>- the scope of the training activity;</li> <li>- the number of trainers assigned to the courses offered and their professional qualifications.</li> </ul> <p>All key steps in the development of the training activity are documented in general terms.</p> | <p>There is a partial, somewhat understandable description of:</p> <ul style="list-style-type: none"> <li>- the scope of the training activity;</li> <li>- the number of trainers assigned to the courses offered and their professional qualifications.</li> </ul> <p>The key steps in the development of the training activity are documented in part.</p> | <p>There is no description of the scope of the training activity, the number of trainers assigned to the courses offered or their professional qualifications, or if there is, it is difficult to understand.</p> <p>The key steps in the development of the training activity are not documented.</p> |

| Training provider recognition criteria  |   |  |   |
|---|---|--|---|
| A<br>Very satisfactory  | B<br>Satisfactory   | C<br>Somewhat satisfactory   | D<br>Unsatisfactory   |
| <b>Component considered: Pedagogical planning and learning strategies<br/>Evaluation criteria: Consistency of pedagogical planning</b>  |   |  |   |
| <p>The steps in the pedagogical planning process are described in a clear and detailed manner (including objectives and content as well as teaching, learning and assessment methods).</p> <p>The teaching plan is well structured and shows clear, logical connections between the program's objectives, the learning objectives and the choice of educational activities.</p>   | <p>The steps in the pedagogical planning process are described in a clear and comprehensible manner.</p> <p>The teaching plan is structured in general terms and shows the connections between the program's objectives, the learning objectives and the choice of educational activities.</p>  | <p>The steps in the pedagogical planning process are partially described.</p> <p>The teaching plan is more or less structured and does not clearly show the connections between the program's objectives, the learning objectives and the choice of educational activities.</p>  | <p>The steps in the pedagogical planning process are not described.</p> <p>There is no teaching plan, or if there is, it is difficult to understand and does not show the connections between the program's objectives, the learning objectives and the choice of educational activities.</p> |
| <b>Evaluation criteria: Variety of learning activities</b>  |   |  |   |
| <p>The learning activities are varied (e.g., readings, collaborative work, discussions, demonstrations, case studies) and take into account the general expectations related to the profession (critical thinking, communication and adaptability skills, and openness to diversity) (3/3).</p> <p>The activities enable students to achieve all the learning objectives. They also facilitate their integration into the workforce and help them maintain their professional competencies.</p> | <p>The learning activities are more or less varied and take into account general expectations related to the profession (critical thinking, communication and adaptability skills, and/or openness to diversity) (2/3).</p> <p>The activities enable students to achieve a number of the learning objectives. They also facilitate their integration into the workforce and help them maintain their professional competencies.</p> | <p>The learning activities are somewhat repetitive and take into account one of the general expectations related to the profession (critical thinking, communication and adaptability skills, or openness to diversity) (1/3).</p> <p>The activities enable students to achieve some of the learning objectives and integrate more or less effectively into the workforce.</p> | <p>The learning activities are repetitive and do not take into account any general expectations related to the profession.</p> <p>The activities do not enable students to achieve the learning objectives or integrate into the workforce.</p>   |

| <b>Training provider recognition criteria</b>   |   |  |   |
|---|---|--|---|
| <b>A<br/>Very satisfactory</b>  | <b>B<br/>Satisfactory</b>   | <b>C<br/>Somewhat satisfactory</b>   | <b>D<br/>Unsatisfactory</b>   |
| <b>Component considered: Program delivery<br/>Evaluation criteria: Quality of program delivery</b>  |   |  |   |
| <b>Administrative level</b>   |   |  |   |
| <p>The delivery process is clearly described based on the program's delivery conditions (on-line or in-class) and languages. Many relevant fraud prevention and participant identification measures are in place.</p> <p>The learning environment facilitates access to knowledge for the training of all target clientele.</p> | <p>The delivery process is described in general terms based on the program's delivery conditions (on-line or in-class) and languages. Some relevant fraud prevention and participant identification measures are in place.</p> <p>The learning environment facilitates access to knowledge for the training of most target clientele.</p> | <p>The delivery process is briefly described based on the program's delivery conditions (on-line or in-class) and languages. Some fraud prevention OR participant identification measures are in place.</p> <p>The learning environment facilitates access to knowledge for the training of some target clientele.</p> | <p>There is no description of the delivery process, or if there is, it does not take into account the program's delivery conditions (on-line or in-class) or languages. There are no fraud prevention OR participant identification measures.</p> <p>The learning environment does not facilitate access to knowledge for the training of target clientele.</p> |
| <b>Component considered: Program delivery<br/>Evaluation criteria: Quality of program delivery</b>  |   |  |   |
| <b>Pedagogical level</b>  |   |  |   |
| <p>The trainers have teaching experience (5 years or more) and professional experience (10 years or more) relating to the subject matter.</p>   | <p>The trainers have teaching experience (3-4 years) and professional experience (5-9 years) relating to the subject matter.</p>  | <p>The trainers have teaching experience (1-2 years) and professional experience (1-4 years) relating to the subject matter.</p>   | <p>The trainers have little or no teaching experience (less than 1 year) AND/OR professional experience (less than 1 year) relating to the subject matter.</p>  |

| <b>Training provider recognition criteria</b>   |  |   |  |
|---|--|---|--|
| <b>A<br/>Very satisfactory</b>  | <b>B<br/>Satisfactory</b>  | <b>C<br/>Somewhat satisfactory</b>  | <b>D<br/>Unsatisfactory</b>  |
| <b>Component considered: Assessment of learning<br/>Evaluation criteria: Assessment compliance</b>  |  |   |  |
| <p>The question banks are developed and updated based on the educational content, the target competencies and the types of assessment.</p> <p>The certification exams are developed collaboratively by qualified industry professionals and education professionals. The exams are contextualized and cover the target competencies. They help to adequately determine the level of learning that was achieved.</p> <p>All information relating to the exam development process (content, procedure and persons concerned) (3/3) is presented in order to ensure assessment transparency.</p> <p>The certification exam administration process is clearly defined based on the exam delivery conditions (on-line or in-class), including requirements for candidates, exam protection and related access (3/3).</p> | <p>The question banks are developed based on the educational content, the target competencies and the types of assessment.</p> <p>The certification exams are developed by qualified industry professionals. The exams are somewhat contextualized and cover the target competencies. They help determine the level of learning that was achieved.</p> <p>A number of pieces of information relating to the exam development process (content, procedure and/or persons concerned) (2/3) are presented in order to ensure assessment transparency.</p> <p>The certification exam administration process is generally defined based on the exam delivery conditions (on-line or in-class), including requirements for candidates, exam protection and related access (2/3).</p> | <p>The question banks are developed based on the educational content and the target competencies.</p> <p>The certification exams are developed by industry professionals, but they are less contextualized AND/OR only partly cover the target competencies. The exams make it difficult to determine the level of learning that was achieved.</p> <p>Some information relating to the exam development process (content, procedure or persons concerned) (1/3) is presented in order to ensure assessment transparency.</p> <p>The certification exam administration process is briefly defined based on the exam delivery conditions (on-line or in-class), including requirements for candidates, exam protection or related access (1/3).</p> | <p>A single question bank is used for all types of assessment.</p> <p>The certification exams are developed by industry professionals, but they are not contextualized and do not cover the target competencies. They do not help determine the level of learning that was achieved.</p> <p>No information relating to the exam development process is presented (0/3).</p> <p>The certification exam administration process is not defined (0/3).</p> |

| <b>Training provider recognition criteria</b>  |   |  |                                      |
|--|---|--|--------------------------------------|
| <b>A<br/>Very satisfactory</b>   | <b>B<br/>Satisfactory</b>   | <b>C<br/>Somewhat satisfactory</b>   | <b>D<br/>Unsatisfactory</b>          |
| <b>Component considered: Program evaluation and continuous improvement</b>   |   |  |                                      |
| <b>Evaluation criteria: Usefulness of program evaluation</b>   |   |  |                                      |
| <p>The program is regularly evaluated. Qualitative and quantitative data help determine:</p> <ul style="list-style-type: none"> <li>- the level of participants' satisfaction with the program;</li> <li>- the level of achievement of the objectives of the learning activities and program;</li> <li>- the strengths and weaknesses of the program and each learning activity. (3/3)</li> </ul> <p>Program follow-up is always based on those results in order to improve and plan future courses.</p> | <p>The program is evaluated. Qualitative and quantitative data help determine:</p> <ul style="list-style-type: none"> <li>- the level of participants' satisfaction with the program;</li> <li>- the level of achievement of the objectives of the learning activities and program;</li> <li>- the strengths and weaknesses of the program and each learning activity. (2/3)</li> </ul> <p>Program follow-up is sometimes based on those results in order to improve and plan future courses.</p> | <p>The program is evaluated on occasion. Qualitative OR quantitative data help determine:</p> <ul style="list-style-type: none"> <li>- the level of participants' satisfaction with the program;</li> <li>- the level of achievement of the objectives of the learning activities and program;</li> <li>- the strengths and weaknesses of the program and each learning activity. (1/3)</li> </ul> <p>There is no program follow-up.</p> | <p>The program is not evaluated.</p> |