



MTI COURSE GUIDELINES FOR CONTINUING EDUCATION (CE) ACTIVITIES



To maintain your certification, you must comply with the continuing education requirements of the designation. As an MTI® designation holder, you have an obligation to continually develop and expand your abilities, skills, and current knowledge of trust services. You can satisfy the CE requirement by completing twelve hours of Professional Development on an annual basis. You must retain supporting documents to confirm your completion of CE credits. In order to qualify, the content of the program must relate to one of the core competencies found in the “MTI® Professional Competency Profile”.

General Requirements:

The content of a CE activity must fall within one of the nine core competencies of a Member, Trust Institute (MTI®). These are:

1. Administer a portfolio of estates, trusts, other fiduciary accounts and agencies in accordance with the terms of governing documents, relevant law and corporate risk management policies and procedures.
2. Identify relevant executor and trustee issues and responsibilities with regard to the creation, administration and ongoing management of estates, trusts and other fiduciary accounts.
3. Maintain an overall and current knowledge of estates and trusts legal and tax issues.
4. Review the structure and key provisions of the governing document to assess its effectiveness in carrying out its terms, and to ensure that the trustee's or legal (personal) representative's potential legal liability for non-compliance or breach of obligations is minimized.
5. Identify when and why specialists are required during an administration in order to ensure the best service and advice is obtained at a reasonable cost to the estate or trust.
6. Build and manage client relationships that result in a successful partnership ensuring that the intentions of the testator or settlor are carried out for the beneficiaries.

[Click here](#) to read a more detailed outline of all the elements of this competency profile and access the tool for assessing CE against the nine core competencies stated above.

Types of Acceptable Activities

The following types of programs are acceptable as CE activities. In each case the content of the program must correspond to one of the core competencies for an MTI® professional as outlined in the competency profile.

Completion of courses, online activities, and attendance at seminars, webinars or conferences, must be documented either through an Attendance Certificate or proof of completion of an examination or online quiz.

In-house Courses

Courses or seminars that are offered by your firm are acceptable if they meet the core competency requirements. In-house courses that are firm-specific with regard to corporate policy or product development and delivery are generally not acceptable as a continuing education program. For example, time spent listening to a speaker about the benefits of the firm's products is not considered an acceptable CE activity. However, an in-house course demonstrating the basics of how to assess client financial statements for the purpose of asset assessment would be acceptable. Although it is not mandatory to



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do so, employers may submit courses to CSI for approval for continuing education purposes. In such a case, an assessment fee will be applied (see CE Assessment Fee Guide).

Seminars and Webinars

Seminars and webinars offered by third party providers are acceptable if the topic is related to one of the core competencies. For example, in an hour long seminar, if the speaker discusses the markets and the economy and then spends time reviewing the performance and characteristics of a particular firm's investment product, time must be deducted from that hour for the time spent on the proprietary product.

CSI CE Activities

CSI courses are acceptable if they cover topics within the MTI® core competencies. Courses that make up the designation educational program are not generally considered for continuing education purposes. For example, the Derivative Fundamentals Course would be acceptable, whereas the Canadian Securities Course would not be acceptable as it is considered to be base content to earn the MTI® designation. An exception to this may be the advanced on-line courses where significant changes may have incurred since originally taking the course. For example, the Taxation Considerations for Estates and Trusts course covers content where change is ongoing; therefore it may be appropriate to re-take this course to refresh and update one's knowledge of taxation of estates and trusts.

College or University Courses

Completing a course at a college or university is an acceptable CE activity if the topic is related to one of the core competencies. For example, a course in written communications would be acceptable whereas a course in sociology, Spanish or philosophy would not be. Carry-over privileges to the following year for semester-long college or university courses are allowed. The maximum number of carry-over credits granted for a semester-long course is six. Please see the Carry-Over Policy for details.

Other Educational Providers

Programs offered by other educational providers are acceptable if the topic is related to one of the core competencies. Although it is not mandatory to do so, providers may submit courses to CSI for approval for continuing education purposes. In such a case, an assessment fee will be applied (see CE Assessment Fee Guide).

Conferences

Conferences offered by product suppliers or professional designation groups are acceptable activities. Attendance must be documented. Only time spent learning counts. Time allocated to lunches, breaks and presentations about the firm's products must be deducted from the total time spent at the conference. A full day conference will qualify for a maximum of 7 credits.



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Writing

Writing articles, books, course materials or newsletters that are educational is an acceptable CE activity. Articles, newsletters or columns are only acceptable for credit in the year they are written. The topic must relate to the content in one of the core competencies. Marketing materials or newsletters written for clients are not considered acceptable. For example, a monthly column on estate planning for a newspaper or industry magazine would qualify. Writing a column for a newsletter that is distributed to clients would not. To qualify for compliance credits, the topic must relate directly to new regulations or rules including how they will impact a trust officer's dealings with clients or the firm.

Carry-over privileges are allowed for the creation of a book or course but not for a magazine or newspaper article or column. The material written can only be used once as a CE activity. Please see the Carry-Over Policy for details.

Teaching and Speaking Engagements

Teaching a course at a college or university is acceptable if the topic relates to one of the core competencies. A semester-long course qualifies for six carry-over credits to the following year. A course can only be used once for CE credit.

Presenting or giving a speech at a conference is acceptable for CE credit. Credit will be given for the length of the presentation. The audience must be financial advisors or trust specialists. For example, giving a speech at an annual conference or a presentation to colleagues at the firm would qualify for credit, but conducting a seminar to potential clients would not. For example, giving a presentation describing a new anti-money laundering regulation and its impact on the types of questions a trust officer or estate planner asks the client would qualify for credits.

Examples of Types of Activities Not Acceptable

The following provides examples of activities that would not be considered acceptable for CE credits. It is not an exhaustive list.

- Providing seminars to clients even if the topic relates to one of the core competencies
- Courses or seminars on basic business skills. For example, tutorials on basic computer programs such as Word or Excel
- Seminars or webinars that cannot be verified
- Any learning or teaching activity that does not relate to a core competency
- Any writing activity aimed at clients
- Non-verifiable activities such as reading newspapers, books, magazines or internet material, even if it relates to a core competency

Calculation of CE Credits

In general, one hour of content is equivalent to one CE credit. The content must be directly related to one of the core competencies of the MTI® competency profile. Content promoting a firm's proprietary products does not qualify for CE credits. Although many courses and programs can easily take 50 or 60 hours to complete, the most a program will be awarded is 18 CE credits. MTI® holders may carry over a maximum of 6 CE credits to the following year for approved activities.



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Examples

An MTI® holder completing a 13 week university course would satisfy the current year's CE requirements and would be able to carry-over 6 PD credits to the following year. CSI offers many courses of varying lengths. If a CSI course is worth more than 12 PD credits, up to 6 PD credits can be carried over to the following year.

If a firm provides a one hour seminar on an investment product but does not mention their proprietary version of the product, the seminar would be worth one credit. However, where part of the seminar is devoted to the characteristics and performance of the firm's proprietary version of the product, credit would be deducted from the total time of the seminar. The seminar may be worth only 0.75 credits, depending on how much time is spent on proprietary product promotion.

A full day conference will qualify for a maximum of 7 credits. The content must be directly related to one of the core competencies of the MTI® designation. If during a conference 1.5 hours were allocated to lunch and breaks, that amount would be deducted from the total length of the conference. In addition, any time spent on proprietary product promotion would also be deducted from the total length of the conference.

Continuing Education Exemptions

MTI® holders commit to life-long learning. However, there may be times when completing the CE requirements becomes either difficult or impossible. With the support of the MTI® holder's firm, exemptions for extenuating circumstances may be requested.

Maternity/Parental Leave Exemption

A one year exemption may be requested in the year an MTI® holder's child is born, adopted, or if the MTI® holder is taking maternity or parental leave. A Continuing Education Exemption Request Form must be completed and submitted for approval prior to the end of the calendar year the exemption is being requested. A copy of the child's birth certificate or adoption papers must be submitted with the exemption form.

Disability Exemption

MTI® holders who have suffered a disability or medical condition may request an exemption to the CE requirements. A Continuing Education Exemption Request Form must be completed and submitted for approval. Medical documentation must accompany the request. Each case will be assessed on an individual basis. It is possible that accommodations can be made or that the CE requirements be postponed. However, it is unlikely that a permanent or long-term exemption will be approved.

Other Extenuating Circumstances

Other extenuating circumstances may make it difficult to complete the CE requirements in a particular year. A Continuing Education Exemption Request Form must be completed and submitted for approval. Each case will be assessed on an individual basis.



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Carry-Over Policy

General Policy

Many programs are worth more than the minimum required credits. CE Guidelines allow for a carry-over maximum of 6 PD credits to the following year on certain CE activities. Compliance credits cannot be carried over to the next year.

CE Activities Eligible for Carry-Over

- CSI courses (not including courses that are considered base content for an MTI® holder)
- University and college credit courses
- Courses from other educational providers that include an examination
- Writing a book or course (not including a magazine or newspaper article or column)
- Teaching a semester-long course at a college or university

CE Activities not Eligible for Carry-Over.

- Attendance at conferences and seminars
- Writing magazine or newspaper articles or columns
- Presenting or speaking at an industry conference or seminar
- Courses that make up the designation's educational program

Recordkeeping, Verification and Reporting of CE Credits

It is the responsibility of the MTI® holder to maintain a record of the CE activity. A CE Assessment Tool and CE Completion Form have been provided (see link below). It is not required to submit this document when renewing the designation but it should be maintained and accessible if the MTI® holder is audited. Documentation should be kept on file for a minimum of two years. Some firms may require that the MTI® holder submit documentation of CE activity on an annual basis.

If the MTI® holder attended a seminar, webinar or conference, proof of attendance must be obtained. Typically, a certificate of attendance or completion is issued by the provider. Proof of attendance at a webinar is commonly provided through the completion of an online quiz after the webinar. The following information must appear on the certificate:

- Name of attendee
- Name of provider (including signature and/or logo)
- Name of course
- Date attended
- Location
- CE credit hours
- Type of CE credit (professional development or compliance)



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Documentation for courses must provide proof of completion and must include:

- Name of attendee
- Provider
- Name of course
- Course outline
- Official transcript from course provider (photocopy is acceptable)
- Length of program
- Date of successful completion
- Type of CE credit (professional development or compliance)

Documentation for other CE Activities must include sufficient detail to support the eligibility of the activity for CE purposes. Examples of acceptable documentation include:

- Conference sponsor, date, location and length of speaking engagement as evidenced by the conference program
- Date and name of publication for a writing activity
- Contract for the writing activity
- Copy of the articles, columns, or book
- Contract for teaching which states name of course, duration and date of delivery
- Other pertinent documentation to support the activity

Continuing Education Audit (Renewals Only)

CSI will conduct an audit of MTI® holders upon renewal of the designation to assess compliance with the Continuing Education requirements. The audit will be carried out monthly and will select a specific percentage of renewal applicants for audit purposes.

MTI® holders who are selected for audit purposes will be sent a letter notifying them of the audit and will be asked to submit documents to verify credit hours as indicated on their designation renewal form.

Failure to Comply with CE and/or Audit Requirements

Failure to comply with CE requirements may result in the removal of the right to use the MTI® designation. If audited, the MTI® holder must respond within 30 days to the auditor's requests for more information or a plan to make up the required CE credits.

Erroneous or fraudulent reports of CE activity may result in the removal of the right to use the MTI® designation. The MTI® Board of Directors reserves the right to administer a penalty, suspension or expulsion of the MTI® holder from designation holder directory.

Misstated or fraudulent reporting of CE credits will be reported to the Ethics Committee as a violation of the Code of Ethics and will be considered according to the Ethical Misconduct Process.



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Continuing Education Exemption Request Form

Name:

MTI® Designation Number:

Address:

Phone Number:

Email:

Firm Name and Address:

Direct Manager:

I am requesting an exemption from the MTI® Designation Continuing Education Requirements due to:

Maternity Leave

Illness/Disability

Year and Length of Exemption Requested:

Please provide details explaining the need for the exemption.

I have attached the following documents to support the need for an exemption at this time.

I, the undersigned state that the information contained in this request is accurate and permit CSI to verify any information provided in this request.

Signature: _____

Date: _____

Name of Witness: _____

Date: _____

Signature: _____

I, the undersigned, believe that the MTI® designate submitting this request should be entitled to the exemption.

Name of Supervising Manager: _____

Contact Information: _____

Signature: _____



MTI COURSE GUIDELINES FOR CONTINUING EDUCATION (CE) ACTIVITIES



MTI® CE Assessment Tool

How to Use this Document

This tool has been provided to assist candidates for the Member, Trust Institute designation (MTI®) in assessing the relevance of continuing education activities as they are related to the competencies to be demonstrated by a Member, Trust Institute who holds the MTI® designation.

Individuals may download a copy of the MTI® Competency Profile with the sample CE topics allocated to each competency and sub-competency and check the areas they feel the CE activity they completed (or intend to complete) has addressed. If the activity does not relate to the MTI® core or sub-competencies, then it is not considered an eligible CE activity for an MTI® designation holder.

The next page of these guidelines provides a format for the MTI® holder to record their CE activities and match them to the profile.

You are not required to submit this form when you attest to meeting the CE requirements. However, it is highly recommended that individuals retain a copy of this completed form in their personal files for 2 years. If you are chosen in the random audit for continuing education, you may need to refer back to this document.

If an individual is chosen for audit, this assessment tool will be used by CSI assessors to assist them in determining whether or not the activities taken by the individual have met the annual continuing education requirements.



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Tool to Provide Record of Continuing Education Activity

Below is a sample of how the CE assessment and tracking tool can be used.

Use the chart below to keep track of your Continuing Education Activity. File this chart with the documentation you have received to verify your CE activity.

Date of Activity	Activity (including location if appropriate)	Provider (include documentation of verification)	Core Competency and Sub-Competency the activity covers	Number of PD credits	Number of Credits year to date
April 15, 2010	Full day Seminar on US Estate Taxation	STEP Attendance Form	3. Maintains an overall and current knowledge of estates and trusts legal and tax issues 3.3 Recognize special taxation issues facing the executor/ trustee including jurisdictional and foreign claims	7 PD Credits	7 for 2011
April 16, 2010	Advanced Investment Strategies Course	CSI Notice of Course Completion	1. Administer a portfolio of estates, trusts, other fiduciary accounts and agencies in accordance with the terms of governing documents relevant law and corporate risk management policies and procedures. 1.7 Review investments, invest funds and liquidate assets.	30 PD Credits	9 for 2011 6 for 2012

