

September 19, 2012

## NRD Release 2.5 – Enhancements

On Saturday, September 22, 2012, the following enhancements will be implemented on NRD in Release 2.5.

### New report for Current Terms and Conditions for Individuals

A new report has been created in NRD to allow firms and regulators to view current terms and conditions information for registered individuals based on certain criteria. Authorized Firm Representatives (AFR) will be able to generate the report for individuals registered with a firm(s) for which they act as AFR. The report can be accessed by the Reports hyperlink in the task menu under the Admin Tools tab. The title will be “Generate Report for Current Terms and Conditions for Individuals.”

Sample criteria page:

**Generate Report for Current Terms and Conditions for Individuals**

Select at least one criteria to generate a list of current terms and conditions for individuals. Terms and Conditions will be listed for Active and Suspended(Regulatory Action) individuals only.

To select one or more regulators, click on a regulator, hold the CTRL key to select more than one regulators.  
To remove a regulator, hold the CTRL key and click on the regulator.

Imposed by:  
(Securities Regulator  
Authority/Self-Regulatory Organization)

All  
Ontario Securities Commission  
Autorité des marchés financiers  
British Columbia Securities Commission  
Alberta Securities Commission  
Securities Division, Saskatchewan Financial Services Commission  
The Manitoba Securities Commission  
Superintendent of Securities, Nunavut  
Securities Commission of Newfoundland and Labrador  
Nova Scotia Securities Commission

Employment Location NRD No.:

Individual NRD No.:

Terms and Conditions Title:

Effective Date  
Is between / /  and / /   
(YYYY/MM/DD) (YYYY/MM/DD)

Terms and Conditions must be satisfied by  
Is between / /  and / /   
(YYYY/MM/DD) (YYYY/MM/DD)

Report Format:  
 PDF  
 Excel  
 Comma-separated Values (CSV)

Sample report page:

NRD Report										
Time Run:	2:20:38 pm									
Date Run:	9/11/2012									
Who Requested Report:	Test, John									
Name of Report:	Current Terms and Conditions for Individuals									
Firm:	11111 INVESTMENTS INC./INVESTISSEMENTS INC.									
Effective Date:	Between 2012-09-11 and 2012-09-11									
Firm NRD No.	Firm Name	Individual NRD No.	Individual Name	Location NRD No.	Terms and Conditions applied as	Imposed by:	T&C Title	Term and Condition Description	Effective Date	Must Satisfy by
11111	INVESTMENTS INC./INVESTISSEMENTS INC.	2222	Doe, Jane	9999	National	Ontario Securities Commission	Other	ABCDEFG	2012-09-11	2012-12-12
11111	INVESTMENTS INC./INVESTISSEMENTS INC.	3333	Doe, John	9999	Local	Ontario Securities Commission	Other	ABCDEFG	2012-09-11	2012-12-12

### Allow all Notices to be returned to the firm for correction

Notices under NI33-109F1 and NI33-109F5 have been enhanced to allow deficient submissions to be returned to the firm for correction. If the notice is returned to the firm the AFR will be able to edit any page within the submission.