

Submission Status Report

On June 2, 2007, a new standard report will be available within the NRD application. The Submission Status Report will allow the following information to be summarized for any one firm:

1. Within a specified date range, a list of submissions that were assigned a disposition by the Regulators, and
2. a list of pending submissions with Regulators.

How to generate the report:

The report can be found in the “Admin Tools” section of NRD under “Reports.” There are seven criteria that can be entered to create the report:

1. ***Action Date***; this date can be from one day to one year. The report will list those submissions disposed on or during the date(s) specified
2. ***Submission Type***; an AFR may select the report to list specific submission types or all submission types. Only individual type submissions will be listed.
3. ***Submission Status***; the report can be further narrowed to include only submissions that have a certain status, that is: approved, denied, withdrawn or returned to firm.
4. ***Jurisdiction***; an AFR can request for the report to list submissions pending and/or disposed by a particular jurisdiction.
5. ***AFR***; the report can summarize the state of submissions sent by a particular AFR for a firm.
6. ***Employment Location NRD Number***; if an AFR wants to see the status of submissions for individuals at a specific location, the location NRD number can be entered.
7. ***“Include submissions that are not disposed”***; completion of this checkbox triggers the inclusion of submissions that have not yet been assigned a disposition by the regulators, where the submission date is up to one year before the creation of the report.

Figure 1: Sample input to produce a Submission Status Report on NRD.

Generate Submission Status Report

Enter information to create a report showing the status of submissions.

Action Date: From: 2007 / 05 / 16 (YYYY/MM/DD)
To: 2007 / 05 / 17 (YYYY/MM/DD)

To select one or more submission types, click on a submission type, hold the CTL key to select more than one submission type. To remove a submission type, hold the CTL key and click on the submission type. The same applies for the submission status.

Submission Type: All
Change or Surrender of Individual Categories
Apply for an Exemption
Initial Registration

Submission Status: Approved
Denied
Withdrawn
Returned to Firm

Jurisdiction: All
AFR: All
Employment Location NRD No.:
 Include submissions that are not disposed

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

How to interpret the report output:

The report is available in the formats that are common to all NRD reports (pdf, Excel or csv). In addition, the report is prefaced by the standard report header that will include the report criteria and run date and time, as well as the report requestor.

The report is divided into two sections: i) the applicant information on the left, and ii) the submission information on the right.

Applicant information; the applicant NRD number, name and employment location NRD number are included. The employment location is either the current employment location of the individual or a location pending approval.

Submission information; the report will group submission types together and then sort by submission date. If the submission was sent to multiple jurisdictions, the status of the submission with each of the jurisdictions will be indicated. The “Jurisdiction” field will distinguish between the commission or IDA office from which disposition is pending or has been applied. The name of the AFR who made the submission will also be shown.

Figure 2; Sample output from the Submission Status Report on NRD.

NRD Report

Time Run: 5:33:21pm
 Date Run: 2007/05/18
 Who Requested Report: Tsatsou, Panoraia
 Name of Report: Submission Status Report

Action Date: From 2007-05-16 to 2007-05-18
 Submission Type: All
 Submission Status: All
 Jurisdiction: All
 AFR: All
 Firm NRD No.: 30980
 Firm Name: Ideal Investments
 Include submissions that are not disposed

| Applicant Information | | | | Submission Information | | | | | | | |
|-----------------------|-----------|------------|------------------|------------------------|----------------|----------------|----------------------------------------------------|----------|---------------------|-----------|------------|
| NRD No. | Last Name | First Name | Location NRD No. | Submission Type | Date Submitted | Submission No. | Jurisdiction | Action | Date Action Applied | AFR | |
| | | | | | | | | | | Last Name | First Name |
| 2064631 | Keskembe | John | 452402 | Initial Registration | 2007/05/18 | 200785829 | Securities Commission of Newfoundland and Labrador | Approved | 2007/05/18 | Tsatsou | Panoraia |
| | | | | | | | New Brunswick Securities Commission | Pending | 2007/05/18 | | |
| | | | | | | | Nova Scotia Securities Commission | Pending | 2007/05/18 | | |
| | | | | | | | Prince Edward Island Securities Registry | Pending | 2007/05/18 | | |

| Applicant Information | | | | Submission Information | | | | | | | |
|-----------------------|-----------|------------|------------------|------------------------------|----------------|----------------|----------------------------------------------------|----------|---------------------|-----------|------------|
| NRD No. | Last Name | First Name | Location NRD No. | Submission Type | Date Submitted | Submission No. | Jurisdiction | Action | Date Action Applied | AFR | |
| | | | | | | | | | | Last Name | First Name |
| 2064641 | Karpodini | Peter | 452402 | Initial Registration | 2007/05/16 | 200785833 | Securities Commission of Newfoundland and Labrador | Approved | 2007/05/18 | Tsatsou | Panoraia |
| 2064651 | Karpodini | Drosia | 452402 | Reactivation of Registration | 2007/05/16 | 200785838 | Securities Commission of Newfoundland and Labrador | Pending | 2007/05/16 | Tsatsou | Panoraia |
| 2064651 | Karpodini | Drosia | 452402 | Residential Address Change | 2007/05/18 | 200785915 | Securities Commission of Newfoundland and Labrador | Pending | 2007/05/18 | Tsatsou | Panoraia |