

July 30th, 2018

Enhancement to the Reconciliation Report by Submission

On Tuesday August 7th, an enhancement will be implemented on NRD to add a Unique Identification Number column to the existing Reconciliation Report by Submission.

The Unique Identification Number (UIN), found under item 9 Location of employment, will be displayed for the applicable individual or submission.

The report structure changes on the Reconciliation Report by Submission are summarized as follows:

Report Format	Changes
PDF Format	Unique Identification Number column is added to the right.
Excel Format	Unique Identification Number column is added to the right in column P.
Comma-separated Values (CSV)	The header 'Unique Identification Number' is added in Column AJ and the value of the UIN is added in Column AZ.

The following figures are the sample outputs generated from the NRD.

Item 9 Location of employment

Unique identification number

This field can be used to enter a unique identifier for this individual such as Transit, Cost Centre or Human Resource number.

Unique Identification Number:(optional) UIN

Figure 1: Sample filled Initial Registration submission with Unique Identification Number entered in Item 9 Location of employment

NRD Report															
Time Run:		3:27:25pm													
Date Run:		2018/04/17													
Who Requested Report:		Last, First													
Name of Report:		Reconciliation Report by Submission													
Submission Type:		All													
Fee Submission Date:		From 2018-04-17 to 2018-04-17													
Fee Status:		All													
Firm NRD No.:		61770													
Submission Information			Applicant Information				Fee Submitter		Fee Submission				EFT Information		Employment Location
No.	Type	NRD No.	Firm Name OR		Last Name	First Name	Date	Payment Type	Record Type	Amount	Payee	Status	EFT Identifier	Process Date	Unique Identification Number
			Last Name	First Name											
201845530	Initial Registration	3680751	last	first	Last	First	4/17/2018	Initial	C	200.00	Ontario Securities Commission	Created		4/17/2018	UIN
									C	75.00	Securities Regulatory Authorities	Created			UIN
									D	275.00	NRD Sample Firm	Created			UIN

Page 1 of 1

Figure 2: Sample output of Reconciliation Report by Submission in PDF format

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
1	NRD Report															
2	Time Run:	3:51:44 PM														
3	Date Run:	2018/04/17														
4	Who Requested Re	Last, First														
5	Name of Report:	Reconciliation Report by Submission														
6	Submission Type:	All														
7	Fee Submission Da	From 2018-04-17 to 2018-04-17														
8	Fee Status:	All														
9	Firm NRD No.:	61770														
	No.	Type	NRD No.	Firm Name OR Last Name	First Name	Last Name	First Name	Date	Payment Type	Record Type	Amount	Payee	Status	EFT Identifier	Process Date	Unique Identification Number
10																
11	201845530	Initial Registration	3680751	last	first	Last	First	4/17/2018	Initial	C	75.00	Securities Rr	Created		4/17/2018	UIN
12	201845530	Initial Registration	3680751	last	first	Last	First	4/17/2018	Initial	C	200.00	Ontario Secu	Created		4/17/2018	UIN
13	201845530	Initial Registration	3680751	last	first	Last	First	4/17/2018	Initial	D	275.00	NRD Sample	Created		4/17/2018	UIN

Figure 3: Sample output of Reconciliation Report by Submission in Excel format

	AJ	AK	AL	AM	AN	AO	AP	AQ	AR	AS	AT	AU	AV	AW	AX	AY	AZ
1	Unique Id	2.02E+08	Initial Regi	3680751	last	first	Last	First	4/17/2018	Initial	C	75	Securities	Created		4/17/2018	UIN
2	Unique Id	2.02E+08	Initial Regi	3680751	last	first	Last	First	4/17/2018	Initial	C	200	Ontario Se	Created		4/17/2018	UIN
3	Unique Id	2.02E+08	Initial Regi	3680751	last	first	Last	First	4/17/2018	Initial	D	275	NRD Samp	Created		4/17/2018	UIN

Figure 4: Sample output of Reconciliation Report by Submission in Comma-separated Values (CSV) format