

May 30, 2022

## Release 3.5.3 – NRD updated to reflect Amendments to National Instrument 33-109 Registration Information

On June 6, 2022, Release 3.5.3 will be implemented on NRD to reflect the Amendments to National Instrument 33-109 Registration Information, which will come into force on June 6, 2022. The key changes on NRD made to NI 33-109 Forms, applications and functions are summarized as follows.

### 1. Form 33-109F1

#### (a) Instructional language/text changes

NRD will be updated with text changes as per the Amendments.

#### (b) Submission titles changes

The Notice of Termination and the Update/Correct Termination Information are amended by replacing the title with "Notice of End of Individual Registration or Permitted Individual Status (formerly Notice of Termination)" and "Update/Correct Cessation (formerly Termination) Information," respectively.

Sample:

Select a Notice 33-109F1

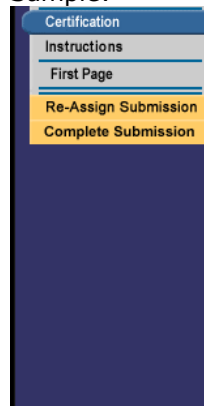
[Notice of End of Individual Registration or Permitted Individual Status \(formerly Notice of Termination\)](#)

[Update/Correct Cessation \(formerly Termination\) Information](#)

#### (c) Certification section changes

The Certification section is added before the General Instructions section and is removed from the end of the submission.

Sample:



**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

#### CERTIFICATION

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable self-regulatory authority (SRO) that

- I have read this form and understand all matters within this form, including the questions, and
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.

- I, the authorized firm representative, am making this submission under authority delegated by the firm. By checking this box, I certify that the firm
- (a) provided me with all of the information on this form, and
  - (b) makes the certification above.

### 2. Form 33-109F2

#### (a) Instructional language/text changes

NRD will be updated with text changes as per the Amendments.

#### (b) Certification section changes

The Certification section is added before the First Page section and is removed from the end of the submission.

Sample:

Certification  
Current Registration  
Registration Jurisdictions  
Registration Categories  
Change Summary  
Re-Assign Submission  
Complete Submission

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

**CERTIFICATION**

*Individual*

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and,
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Notice and consent for collection and use of personal information.

*Firm*

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

- I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that
- (a) the firm provided me with all of the information on this form and makes the firm certification above,
  - (b) the individual provided the firm with all of the information on this form and makes the individual certification above, and
  - (c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

**3. Form 33-109F3**

**(a) Instructional language/text changes**

NRD will be updated with text changes as per the Amendments.

**(b) Certification section changes**

The Certification section is added before the General Instructions section and is removed from the end of the submission.

Sample:

Certification  
First Page  
Re-Assign Submission  
Complete Submission

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

**CERTIFICATION**

*Individual*

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions,
- if the business location specified in this form is a residence, the individual conducting business from that business location has completed a Form 33-109F4 *Registration of Individuals and Review of Permitted Individuals*, and
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete.

- I, the authorized firm representative, am making this submission under authority delegated by the firm.
- By checking this box, I, the authorized firm representative, certify that
- (a) the firm provided me with all of the information on this form, and
  - (b) the firm makes the certification above.

**(c) Instructional language changes**

The Notice regarding a business location that is a residence is added at the bottom of the First Page section.

Sample:

**Notice regarding a business location that is a residence**

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if they are unable to access and review the books, records or documents of a registered firm held at the business location.

**4. Form 33-109F4**

**(a) Instructional language/text changes**

NRD will be updated with text changes as per the Amendments.

**(b) Certification section changes**

The Certification section is added before the General Instructions section and is removed from the end of the submission.

Sample:

Certification
Instructions
Name
Residential Address
Personal Information
Citizenship
Registration Jurisdictions
Registration Categories
Address for Service
Proficiency
Location of Employment
Reportable Activities
Previous Employment
Resignations and Terminations
Regulatory Disclosure
Criminal Disclosure
Civil Disclosure
Financial Disclosure
Ownership of Securities and Derivatives Firms
Print Submission
Re-Assign Submission
Complete Submission

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

**CERTIFICATION**

*Individual*

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions and, for greater certainty, if the business location is a residence, the notice in item 9,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, and,
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in item 20.

*Firm*

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions.

- I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that
- (a) the firm provided me with all of the information on this form and makes the firm certification above,
  - (b) the individual provided the firm with all of the information on this form and makes the individual certification above, and
  - (c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

**(c) Item 9 instructional language changes**

The Notice regarding a business location that is a residence is added at the bottom of the section.

Sample:

**Notice regarding a business location that is a residence**

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if they are unable to access and review the books, records or documents of a registered firm held at the business location.

**(d) Item 10 title changes**

The Current employment is amended by replacing the title with "Reportable activities."

Sample:

Item 10 - Reportable activities

Schedule G

Reportable activities

**(e) Item 10 instructional language changes**

The Instruction is added in the beginning of the section.

Sample:

Certification	<b>Item 10 - Reportable activities</b>  1. Activities with your sponsoring firm  <i>Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities related or not (e.g., sale of securities, review of marketing materials, IT helpdesk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by including the following statement in Schedule G: "Individual is seeking registration as CRM AR."</i>  Complete a Schedule G with respect to your roles and responsibilities with your sponsoring firm.  2. Reportable outside activities
Instructions	
Name	
Residential Address	
Personal Information	
Citizenship	
Registration Jurisdictions	
Registration Categories	
Address for Service	
Proficiency	
Location of Employment	
Reportable Activities	

**(f) Item 10 question changes**

A new mandatory question is added for all current reportable activities to provide all business title(s) and professional designation(s) for the activity. Submissions that are in work-in-progress as of June 6, 2022, or that are returned to the firm to address deficiencies on or after June 6, 2022 will be required to respond to the new question.

Sample:

(e) Provide all business title(s) and professional designation(s) you use for the activity.

**(g) Item 13 Schedule J interface changes**

The Item 13.3 disclosure questions will be reworded and treated as new questions. All previous negative answers to Item 13.3a and previous positive and negative answers to Item 13.3b and Item 13.3c will be carried forward to the new questions. All previous positive answers to Item 13.3a will read "There is no response to this question." An update to Item 13.3a disclosure will be required.

Submissions that are in work-in-progress as of June 6, 2022, or that are returned to the firm to address deficiencies on or after June 6, 2022 will be required to respond to the new questions.

A new table is added to list the registration or licences when disclosing non-securities regulation (question 3(a)).

Sample page with the new questions:

The screenshot shows a web interface for "Item 13 Regulatory disclosure" under "Schedule J (a)". A sidebar on the left contains a menu with items like "Certification", "Instructions", "Name", "Residential Address", "Personal Information", "Citizenship", "Registration Jurisdictions", "Registration Categories", "Address for Service", "Proficiency", "Location of Employment", "Reportable Activities", "Previous Employment", "Resignations and Terminations", "Regulatory Disclosure" (highlighted), "Criminal Disclosure", "Civil Disclosure", "Financial Disclosure", "Ownership of Securities and Derivatives Firms", "Print Submission", "Re-Assign Submission", and "Complete Submission". The main content area is titled "13.3. Non-securities regulation" and contains the following text and form elements:

For each registration or licence, state below

(1) the party who is, or was, registered or licensed, (2) if applicable, the employer or entity for whom you performed the registrable or licensable activity, (3) the period that the party held the registration or licence, (4) the type or category of registration or licence,

[Empty text box]

(5) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, and

Select One [dropdown arrow]

Other, specify

[Empty text box]

(6) the licence number.

[Empty text box]

Sample table with a registration or licence record:

The screenshot shows the same web interface as above, but with a table of registration or licence records. The sidebar menu is the same. The main content area is titled "13.3. Non-securities regulation" and contains the following text and table:

Click on a registration or licence to edit the information:

Regulatory Authority	Effective Date	Added
FP Canada		Added

**5. Form 33-109F5**

**(a) Instructional language/text changes**

NRD will be updated with text changes as per the Amendments.

**(b) Certification section changes**

The Certification section is added before the General Instructions section and is removed from the end of the submission.

Sample:

Certification
Reportable Activities
Previous Employment
Re-Assign Submission
Complete Submission

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

**CERTIFICATION**

*Individual*

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form,
- I have read Form 33-109F4 and understand its questions and, for greater certainty, if the business location is a residence, the notice in Item 9,
- I have discussed Form 33-109F4 with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within Form 33-109F4, including the questions in Form 33-109F4,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete, including information required to be disclosed by Form 33-109F4 that I am not changing with this form, and,
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval

**(c) Item 9 instructional language changes**

The Notice regarding a business location that is a residence is added at the bottom of the section.

Sample:

**Notice regarding a business location that is a residence**

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if they are unable to access and review the books, records or documents of a registered firm held at the business location.

**(d) Item 10/11 submission title changes**

The Item 10/11 – Current/Previous Employment Change is amended by replacing the title with “Item 10/11 - Reportable/Previous Activities Change (formerly Current/Previous Employment Change).”

Sample:

Select a Notice 33-109F5

Item 10/11 - Reportable/Previous Activities Change (formerly Current/Previous Employment Change)

**(e) Item 10/11 instructional language changes**

The Instruction is added in the beginning of the section.

Sample:



Certification
Reportable Activities
Previous Employment
Re-Assign Submission
Complete Submission

**Item 10/11 - Reportable/Previous Activities Change**

**1. Activities with your sponsoring firm**

*Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities related or not (e.g., sale of securities, review of marketing materials, IT helpdesk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by including the following statement in Schedule G: "Individual is seeking registration as CRM AR."*

Complete a Schedule G with respect to your roles and responsibilities with your sponsoring firm.

**2. Reportable outside activities**

*Instructions: Consider all of the activities that you participate in outside of your sponsoring firm, whether or not you receive compensation for such activities and whether or not any such activity is business related. Activities*

**(f) Item 10 question changes**

A new mandatory question is added for all current reportable activities to provide all business title(s) and professional designation(s) for the activity. Submissions that are in work-in-progress as of June 6, 2022, or that are returned to the firm to address deficiencies on or after June 6, 2022 will be required to respond to the new question.

Sample:

**(e) Provide all business title(s) and professional designation(s) you use for the activity.**

**(g) Item 13 Schedule J interface changes**

The Item 13.3 disclosure questions will be reworded and treated as new questions. All previous negative answers to Item 13.3a and previous positive and negative answers to Item 13.3b and Item 13.3c will be carried forward to the new questions. All previous positive answers to Item 13.3a will read "There is no response to this question." An update to Item 13.3a disclosure will be required.

Submissions that are in work-in-progress as of June 6, 2022, or that are returned to the firm to address deficiencies on or after June 6, 2022 will be required to respond to the new questions.

A new table is added to list the registration or licences when disclosing non-securities regulation (question 3(a)).

Sample page with the new questions:

Certification  
 First Page  
 Re-Assign Submission  
 Complete Submission

Item 13 - Regulatory Disclosure Change

Schedule J (a)

13.3. Non-securities regulation

For each registration or licence, state below

(1) the party who is, or was, registered or licensed, (2) if applicable, the employer or entity for whom you performed the registerable or licensable activity, (3) the period that the party held the registration or licence, (4) the type or category of registration or licence,

(5) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, and

Other, specify

(6) the licence number.

Save & Continue >>

Reset

Sample table with a registration or licence record:

Certification  
 First Page  
 Re-Assign Submission  
 Complete Submission

Item 13 - Regulatory Disclosure Change

Schedule J (a)

13.3. Non-securities regulation

Click on a registration or licence to edit the information:

Regulatory Authority	Effective Date	Added
<a href="#">Alberta Insurance Council</a>		Added

6. **Form 33-109F7**

(a) **Instructional language/text changes**

NRD will be updated with text changes as per the Amendments.

(b) **Certification section changes**

The Certification section is added before the General Instructions section and is removed from the end of the submission.

Sample:



Certification
Instructions
Name
Registration Jurisdictions
Registration Categories
Address for Service
Location of Employment
Reportable Activities
Ownership of Securities and Derivatives Firms
Confirm Permanent Record
Re-Assign Submission
Complete Submission

**WARNING - It is an offence to knowingly give false or misleading information to the regulator or the securities regulatory authority.**

## CERTIFICATION

### *Individual*

I, the individual, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where I am submitting this form and to any applicable self-regulatory organization (SRO) that

- I have read this form and understand all matters within this form, including the questions and, for greater certainty, if the business location is a residence, the notice in Item 5,
- I have discussed this form with a branch manager, supervisor, officer or partner of my sponsoring firm and that to the best of my knowledge, the branch manager, supervisor, officer or partner is satisfied that I understand all matters within this form, including the questions,
- to the best of my knowledge and after reasonable inquiry, all of the information provided on this form is true and complete,
- if applicable, I will limit my activities to those allowed by my category of registration and any SRO approval, and,
- the new sponsoring firm understands that if my registration was subject to any terms and conditions that were unsatisfied when I left my former sponsoring firm, those terms and conditions remain in effect and the new sponsoring firm agrees to assume any ongoing obligations that applied to the former sponsoring firm in respect of my registration under those terms and conditions.

I consent to and authorize the collection, directly and indirectly, of personal information by each regulator, securities regulatory authority and SRO and to the use of my personal information as set out in Submission to jurisdiction and notice and consent for collection and use of personal information.

### *Firm*

I, on behalf of the firm, certify to the regulator or, in Québec, the securities regulatory authority in each jurisdiction where the firm is submitting this form and to any applicable SRO that

- the individual identified in this form will be engaged by the new sponsoring firm as a registered individual or a permitted individual,
- I have, or a branch manager, supervisor, officer or partner has, discussed this form with the individual. To the best of my knowledge, the individual understands all matters within this form, including the questions, and
- the new sponsoring firm understands that if the individual's registration was subject to any undischarged terms and conditions when the individual left the individual's former sponsoring firm, those terms and conditions remain in effect and agrees to assume any ongoing obligations that apply to the former sponsoring firm in respect of the individual under those terms and conditions.

- I, the authorized firm representative, am making this submission under authority delegated by the firm and the individual identified in this form. By checking this box, I certify that
- (a) the firm provided me with all of the information on this form and makes the firm certification above,
  - (b) the individual provided the firm with all of the information on this form and makes the individual certification above, and
  - (c) the individual provided the above consent and authorization for the collection and use of the individual's personal information.

### (c) **Item 9 instructional language changes**

The Notice regarding a business location that is a residence is added at the bottom of the section.

Sample:

#### **Notice regarding a business location that is a residence**

For the administration of securities legislation or derivatives legislation, including commodity futures legislation, or both, the regulator or, in Québec, the securities regulatory authority may require access to the business location to review the books, records and documents of the registered firm. If applicable, the SRO may also require access to the business location for the administration of the rules of the SRO.

If the business location specified in this form is a residence, the regulator, securities regulatory authority or SRO may request consent to enter the residence.

If consent is not provided, it may affect the ability of the regulator, securities regulatory authority or SRO to access the books, records or documents of a registered firm and to determine whether securities legislation, derivatives legislation (including commodity futures legislation) or the rules of the SRO are being complied with. As a result, the regulator, securities regulatory authority or SRO may take action if they are unable to access and review the books, records or documents of a registered firm held at the business location.

### (d) **Item 10 title changes**

The Current employment is amended by replacing the title with "Reportable activities."

Sample:

Certification
Instructions
Name
Registration Jurisdictions
Registration Categories

Reinstatement of Registration - Item 10 - Reportable activities

Reportable activities

**(e) Item 10 instructional language changes**

The Instruction is added in the beginning of the section.

Sample:

Certification
Instructions
Name
Registration Jurisdictions
Registration Categories
Address for Service
Location of Employment
Reportable Activities
Ownership of Securities and Derivatives Firms
Confirm Permanent Record
Re-Assign Submission
Complete Submission

Reinstatement of Registration - Item 10 - Reportable activities

1. Activities with your sponsoring firm

*Instructions: Describe all of your roles and responsibilities with your sponsoring firm, whether these roles and responsibilities are securities related or not (e.g., sale of securities, review of marketing materials, IT helpdesk, negotiation of employment contracts, sales of banking and insurance products and services). Include any other information about your position with your sponsoring firm that is relevant for the regulator or, in Québec, the securities regulatory authority to know (e.g., if your role is specialized). For example, if you are applying as an advising representative limited to client relationship management, indicate this by including the following statement in Schedule G: "Individual is seeking registration as CRM AR."*

Complete a Schedule G with respect to your roles and responsibilities with your sponsoring firm.

2. Reportable outside activities

*Instructions: Consider all of the activities that you participate in outside of your sponsoring firm whether or not*

**(f) Item 10 question changes**

A new mandatory question is added for all current reportable activities to provide all business title(s) and professional designation(s) for the activity. Submissions that are in work-in-progress as of June 6, 2022, or that are returned to the firm to address deficiencies on or after June 6, 2022 will be required to respond to the new question.

Sample:

**(e) Provide all business title(s) and professional designation(s) you use for the activity.**

**7. Conversion of existing NRD information to reflect the Amendments**

**(a) Individual Permanent Record and Permanent Record Report**

Upon implementation of NRD Release 3.5.3, the permanent and permanent record report for existing registrants will reflect the new questions in Item 10 along with the default answer "There is no response to this question." For Item 13.3, the old responses will move to history and can be viewed by selecting the 'Previous 33-109F4' button on the Item 13 page. The permanent record history for disclosure items (under 'Previous 33-109F4') will be re-organized to show historical information prior to the effective date of the applicable legislative amendment (i.e., Prior to 2009/09/28, if applicable). All previous negative answers to Item 13.3a and previous positive and negative answers to Item 13.3b and Item 13.3c will be carried forward to the new questions. All previous positive answers to Item 13.3a will read "There is no response to this question."

**(b) Submissions in AFRs' Work In Progress (WIP) list**

Submissions in the AFR's WIP list that have not passed the completeness check, whether newly created or previously returned by a regulator, will be subject to the new certification, mandatory questions and related validations.

Tip: You may receive an incomplete submission error when trying to complete a submission that was created before June 6, 2022. If this occurs, you must return to the appropriate section of the submission, provide the new response, and then proceed to submit the submission.

**(c) Submissions sent to Regulators before June 6, 2022**

Submissions that were sent to regulators before June 6, 2022 will not be updated with the new form changes. Once these submissions are approved, the old responses to Item 13.3 will move into history and can be viewed by selecting the 'Previous 33-109F4' button in the Permanent Record. The current version of the questions for Item 10 will display as "There is no response to this question." on the appropriate page of the current Permanent Record. All previous negative answers to Item 13.3a and previous positive and negative answers to Item 13.3b and Item 13.3c will be carried forward to the new questions. All previous positive answers to Item 13.3a will read "There is no response to this question."

If regulators return submissions back to registrants where form changes apply, once the submissions are in the AFR's WIP, they will be updated with the new form changes and the new questions and mandatory fields, as applicable, will need to be completed.

**(d) Submissions already disposed (approved, withdrawn or denied)**

Submissions that are disposed prior to June 6, 2022 will not be updated with the form changes.

If regulators return submissions back to registrants where form changes apply, once the submissions are in the AFR's WIP, they will be updated with the new form changes and the new questions and mandatory fields, as applicable, will need to be completed.