

November 11, 2011

Release 2.4.2 - NRD Enhancements

On Saturday, November 19, 2011, the following enhancements will be implemented on NRD in Release 2.4.2.

Chambre de la sécurité financière (CSF) membership fee collected via NRD's Annual Fee process

The contribution to the Chambre de la sécurité financière (CSF) will now be calculated & collected by NRD during the annual fee process. The CSF membership fee amount that will be charged for 2012 is \$257.47 (including taxes) for each current / active dealing representative of a Mutual Fund Dealer and/or Scholarship Plan Dealer registered in Quebec. (A single fee will be charged for individuals registered under both categories).

The firm's Annual Fee Summary will display the CSF membership fees showing the total amount paid by individuals registered as dealing representatives under Mutual Fund Dealer or Scholarship Plan Dealer categories, as applicable. If a dealing representative is registered under both categories the CSF membership fee amount will display under the Scholarship Plan Dealer category.

Sample Annual Fee Summary page showing CSF Membership Fee:

Quebec	
Firm and Individual Categories:	
Permitted Individuals	\$0.00
Individual Fees	\$0.00
Ultimate Designated Person	\$0.00
Individual Fees	\$0.00
Mutual Fund Dealer	\$0.00
Individual Fees	\$158,250.00
Scholarship Plan Dealer	\$0.00
Individual Fees	\$6,812.00
CSF Membership Fee	\$96,808.72
Restricted Dealer	\$1,519.00
Individual Fees	\$2,660.00

	\$266,049.72

Total:	\$266,049.72
	=====
Allocation:	
Autorité des marchés financiers	\$266,049.72

The CSF membership fee charged will also be displayed in the Annual Fee Detailed Report - for each individual the corresponding CSF membership fee, if applicable, will represent a new line in the report. Samples are shown below.

Annual Fee Detailed Report – by Individual

Individual NRD No.	Name	Firm Category	Individual Category	Location NRD No.	UIN No.	Jurisdiction	Type	Amount
1111111	Doe, John					-	NRD User Fee	367.25
						-	CSF Membership Fee	257.47
		Mutual Fund Dealer	Dealing Representative	999999		AB	Commission Fee	300.00
			Dealing Representative	999999		BC	Commission Fee	250.00
			Dealing Representative	999999		MB	Commission Fee	300.00
			Dealing Representative	999999		NB	Commission Fee	300.00
			Dealing Representative	999999		NF	Commission Fee	250.00
			Dealing Representative	999999		NS	Commission Fee	315.18
			Dealing Representative	999999		NT	Commission Fee	250.00
			Dealing Representative	999999		NU	Commission Fee	250.00
			Dealing Representative	999999		ON	Commission Fee	0.00
			Dealing Representative	999999		PE	Commission Fee	200.00
			Dealing Representative	999999		QC	Commission Fee	422.00
			Dealing Representative	999999		SK	Commission Fee	250.00
			Dealing Representative	999999		YT	Commission Fee	250.00
							Total:	\$3961.90

Annual Fee Detailed Report – by Location

Individual NRD No.	Name	Firm Category	Individual Category	Location NRD No.	UIN No.	Jurisdiction	Type	Amount
		Branch or Business Location		999999		ON	Location Fee	0.00
1111111	Doe, John			999999		-	CSF Membership Fee	257.47
		Mutual Fund Dealer	Dealing Representative	999999		AB	Commission Fee	300.00
			Dealing Representative	999999		BC	Commission Fee	250.00
			Dealing Representative	999999		MB	Commission Fee	300.00
			Dealing Representative	999999		NB	Commission Fee	300.00
			Dealing Representative	999999		NF	Commission Fee	250.00
			Dealing Representative	999999		NS	Commission Fee	315.18
			Dealing Representative	999999		NT	Commission Fee	250.00
			Dealing Representative	999999		NU	Commission Fee	250.00
			Dealing Representative	999999		ON	Commission Fee	0.00
			Dealing Representative	999999		PE	Commission Fee	200.00
			Dealing Representative	999999		QC	Commission Fee	422.00

Annual Fee Detailed Report – by ‘Fees Paid For’

Individual NRD No.	Name	Firm Category	Individual Category	Location NRD No.	UIN No.	Jurisdiction	Type	Amount
1111111	Doe, John	Permitted Individuals	Director	999999		QC	Commission Fee	0.00
2222222	Doe, Mary	Permitted Individuals	Officer	999999		QC	Commission Fee	0.00
3333333	Doe, Scott	Permitted Individuals	Ultimate Designated Person	999999		QC	Commission Fee	0.00
1111111	Doe, John			999999		–	CSF Membership Fee	257.47
2222222	Doe, Mary			999999		–	CSF Membership Fee	257.47
		Address for Service		888888		QC	Location Fee	0.00
		Branch or Business Location		777777		QC	Location Fee	0.00
				555555		QC	Location Fee	0.00
				444444		QC	Location Fee	0.00

Provide contact information for Regulator reviewers assigned to individual submissions

To allow firm representatives to easily locate contact information for the Regulator reviewers assigned to individual submissions, the Regulator reviewer’s name on the AFR’s ‘Sent to Regulators’ list under the “Reviewer” column will be turned into a hyperlink. Clicking on the hyperlink will generate another page that contains the reviewer’s jurisdiction, name, telephone number, and e-mail address. The email address will be a hyperlink that, when selected, will automatically open an email in the default email client.

Sample pages:

Submissions Details					
NRD No.	Name	Submission No.	Submission Type	Date Sent	Reviewer
1122336	Test, Louise	10101010	Initial Registration	2011/10/31	Doe, John

Reviewer Profile
<p>Doe, John Autorité des marchés financiers Phone: 416-555-5555 Email: jdoe@email.com</p>

Display active Terms and Conditions of an Individual's registration on the Permanent Record Report

The permanent record report will now display the Terms and Conditions currently imposed on an individual's registration. The Terms and Conditions will display below the registration categories section (Schedule C - Item 6). A new section titled "Terms and Conditions" will be added to list active Terms and Conditions by jurisdiction.

'National' Terms and Conditions will display first followed by 'Local' Terms and Conditions, as applicable. Within each group (National and Local) multiple Terms and Conditions will be sorted alphabetically by title and then by effective date in reverse chronological order.

Sample page:

Terms and Conditions	
Jurisdiction: Alberta	
Category Restriction ABCDE Effective Date:	10/11/2011
Continuing Education ABCD Effective Date:	10/13/2011
Jurisdiction: British Columbia	
Category Restriction ABCDE Effective Date:	10/11/2011
Continuing Education ABCD Effective Date:	10/13/2011