



**NATIONAL REGISTRATION DATABASE (NRD™) :**  
**HOW TO APPLY FOR AN EXEMPTION**

**July 2011**

# HOW TO APPLY FOR AN EXEMPTION

## ( NRD Submission “Apply for an Exemption”)

### When is this submission type used?

This submission type allows you to apply for an exemption from a proficiency requirement for an individual intending to be or already associated with your firm.

If this submission for exemption is related to a Passport/Interface filing, direct this submission to your Principal Regulator.

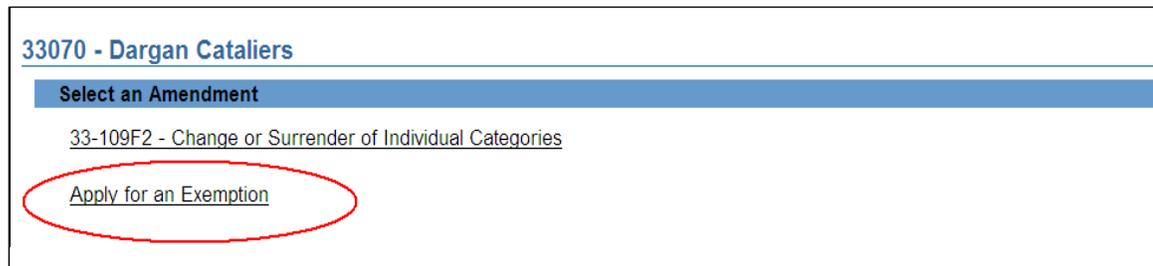
[**Note:** If this submission is approved, the Proficiency section of the individual’s Permanent Record is automatically updated.]

### Who can complete this submission?

An AFR for a firm registered in one or multiple jurisdictions may complete this submission.

### How is this submission completed?

1. From the main navigation bar, select **Individual Submission**. Then click **Amendment** on the list of individual submission types, and then **Apply for Exemption** from the list of amendment types. (see below)



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Select an Amendment

[33-109F2 - Change or Surrender of Individual Categories](#)

[Apply for an Exemption](#)

2. The system displays a search screen on which to identify the individual in question. Enter that individual’s NRD number in the numerical box and click **Continue**. (see below)



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NRD No.:

- The system retrieves the record corresponding to the NRD number entered. A list of the jurisdictions in which the individual is registered or applying to be registered in will be displayed. Click the Principal Jurisdiction (as determined by the jurisdiction of the individual's employment location) to continue. (see below)

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<b>Apply For Exemption</b>	
<b>Provinces or Territories</b>	
<b>Tip: If this Application for Exemption is related to a Passport/Interface filing, direct this submission to your Principal Regulator.</b>	
Click on a province or territory to provide information for Exemption Application:	
<b>Provinces or Territories</b>	
<a href="#">Northwest Territories</a>	
<a href="#">Nunavut</a>	
<a href="#">Prince Edward Island</a>	
<a href="#">Yukon</a>	

- The system presents the Exemption details page. Complete the screen by indicating the course, exam (from the drop down list) or experience requirement from which the individual is seeking an exemption. To select multiple courses, exams per submission, press down on **Control** on your keyboard, and click on your computer mouse to select.

If the course/exam/requirement is not listed, select other and specify the course/requirement in the text box provided. Provide details in the lower text box why you are applying for the exemption and click **Save & Continue**. (see below)

## Apply For Exemption - Northwest Territories

## Exemption Information

Select the courses, examinations, designations and/or experience requirements from which you are applying for an exemption:

Course, examination, designation or other education:

To apply for an exemption from courses, examinations, and/or designations select one or more of the following using the following steps: Click on a course, hold the CTL key to select more than one course.

To remove a course, hold down the CTL key and click on the course.

Chartered Financial Analyst Charter	▲
Chartered Financial Analyst Course (Level I)	
Chartered Financial Analyst Course (Level II)	
Chartered Financial Analyst Course (Level III)	
Chief Compliance Officers Qualifying Examination	
Commodity Futures Exam (Part 1)	
Commodity Futures Exam (Part 2)	
Conduct and Practices Handbook Course	▼

If 'Other' is selected above, specify:

## AND/OR

Experience Requirements:

Explain why you are applying for the exemption. Include information about other courses you have completed, relevant experience and any other information that supports your request.




5. When you are ready, click on the **Continue** button or click **Complete Submission** on the local navigator. The system verifies that you have entered all required information and guides you through the **Complete submission** process. The system will also process any applicable fee payments from your firm's NRD financial institution account.

6. **Complete Submission** process:

(a) **Completeness check**

When you are working on a submission and you:

- Click **Complete Submission** on the local navigator; or
- Click **Continue** on the last page of the submission and start the **Complete Submission** process,

The system validates your submission and checks it for completeness. If all the required information has been entered, the system will display a message confirming that the submission is ready to be sent to regulators. Any incomplete items prompt an error message in red text that describes what information is incomplete in the submission. You can navigate directly to that section by clicking the corresponding tab on the local navigator.

**(b) Relating this submission to a deficiency**

If the submission is related to a deficiency, select “Yes” and enter the related submission number, *otherwise, duplicate fees will be charged and not refunded.*

There are no submission fees payable for submissions that are related to previous submissions. Click **Continue** after you have clicked “Yes” or “No,” as applicable. NRD will calculate the applicable fees, if any, that are required to be paid to regulators with your submission.

**(c) Submission fee summary screen**

The system displays information regarding the fees payable to regulators in each province and territory in which you are making your submission as well as your firm’s NRD account information. NRD user fees may also apply to some submissions.

To print the fee summary for your records, click **Printable Page**, then use the Print function in your internet browser. Click **Continue**, then **Acknowledge** to confirm your acceptance of the fees listed.

**(e) Certification Page**

The system displays a screen with the provinces, territories and regulators to which your submission will be sent. This screen also includes statements to which you must attest.

When you are ready, check the certification box and click **Send to Regulators**. The system sends the submission and displays your Task Menu. You can view the submission by clicking your **Sent to Regulators** tab on the main navigator.

**7. Returned Submission**

The Regulator can return a deficient submission to you. Note that:

- (a) The system will assign a new submission number and the returned submission will be sent to the AFR’s WIP list. Your WIP list will identify that the submission has been returned by the Regulator.

- (b) Only the Principal Regulator can return the submission.
- (c) When the submission is opened, the first page will identify the items that the regulators have indicated need to be changed. This read-only page will have the deficiency comment. (see below)

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<b>Deficient Items</b>	
<b>Comments:</b>	
Correct the selection of courses and reason for exemption application.	
<input type="button" value="Continue &gt;&gt;"/>	

By clicking on **Continue**, the AFR can directly go to the page needed and view items in the submission that need to be changed.

The AFR must make the required change before proceeding to the **Complete Submission** process as per the original submission.

NRD automatically relates the submission and any fees paid to the previously filed submission.

## 8. Multiple Exemption Submissions

The firm AFR may choose to select, complete and submit more than one exemption application for the same individual for a different course, exam, or experience requirement. The process is the same for the single exemption submission.

**Note:** An additional fee/s may be applicable for an additional exemption/s that are submitted to the Regulator.