



NATIONAL REGISTRATION DATABASE (NRD™) :

**HOW TO CHANGE OR SURRENDER
INDIVIDUAL CATEGORIES**

September 2009

HOW TO CHANGE OR SURRENDER INDIVIDUAL CATEGORIES

(Complete Form 33-109F2 : NRD Submission “Change or Surrender of Individual Categories”)

When is this submission type used?

This submission type allows you to complete and submit a form 33-109F2 to change or surrender individual categories or change your officer title.

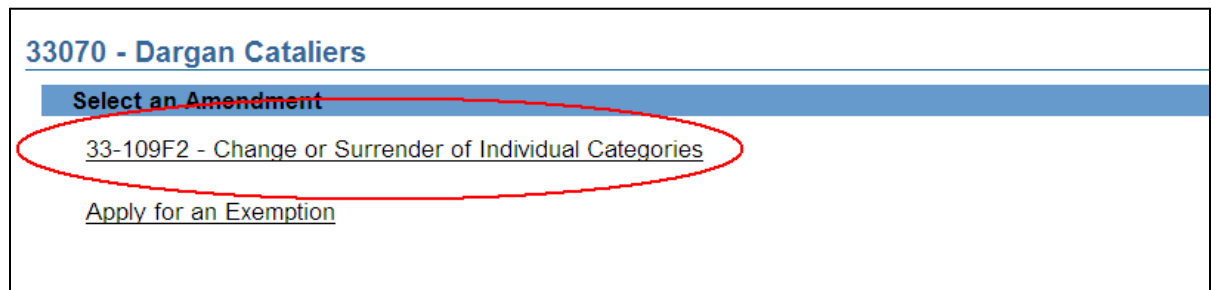
If the individual is surrendering all categories in the last jurisdiction in which s/he is registered, you must complete the **Notice of Termination**, and not the Change or Surrender of Individual Categories.

Who can complete this submission?

An AFR for a firm 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 **Change or Surrender of Individual Categories** from the list of amendment types.




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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 and click **Continue**.



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NRD No.:

3. The system displays the individual's registration categories and IIROC approval categories (if applicable) in that jurisdiction.

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Current Registration

Categories

JURISDICTION - Northwest Territories

Permitted Activities and Ultimate Designated Person
Officer

Mutual Fund Dealer
Dealing Representative

Officer Title: Officer

JURISDICTION - Nunavut

Permitted Activities and Ultimate Designated Person
Officer

Mutual Fund Dealer
Dealing Representative

Officer Title: Officer

If this is the correct individual, click **Continue**.

4. The submission displays the jurisdictions selection page.

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Change of Individual Categories - Item 5 - Registration Jurisdictions

1. Passport/Interface Selection

Are you filing this form under the passport system / interface for registration?

Only choose "no" if you are registered in:

(a) only one jurisdiction of Canada, or

(b) more than one jurisdiction of Canada and you are requesting a change or surrender:

(i) in a non-principal jurisdiction or jurisdictions, but not in your principal jurisdiction.

Yes No

2. Jurisdictions

Check each jurisdiction where you are seeking the change or surrender of individual categories of registration:

Northwest Territories
 Nunavut

OR

All Jurisdictions

- (a) Answer 'Yes' to the Passport/Interface question unless the individual is seeking registration to trade on behalf of a restricted dealer or to advise on behalf of a restricted portfolio manager.
 - (b) Select the jurisdiction(s) to which you are making this application. If you are making this application to all jurisdictions on the list, you may select 'All Jurisdictions'.
5. If you are adding (and not surrendering) common categories to *multiple* jurisdictions, follow these steps:
- (a) Select 'All Jurisdictions' on the **Registration Jurisdictions** page.
 - (b) The system displays the **Common Registration and Accepted Categories** page. Categories and officer title(s) selected on this page will apply to all jurisdictions included in the submission.

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Add Registration Categories - Item 6 - Individual Categories - Common Registration and Accepted Categories
Schedule C

Categories

On Schedule C, check each category for which you are seeking registration as an individual or review as a permitted individual. If you are seeking review as a permitted individual, check each category that describes your position with your sponsoring firm.

Complete this page to add categories and/or an officer title to all applicable jurisdictions. To remove categories, select 'Save and Continue' and remove categories from each applicable jurisdiction.

Permitted Activities and Ultimate Designated Person

Director

Partner

Shareholder

Ultimate Designated Person

Mutual Fund Dealer

Chief Compliance Officer

Branch Manager (MFDA members only)

Indicate an 'Officer Title' only if you are adding or changing the title for all jurisdictions.

No Change
▼

If 'Other' is selected above, specify:

Save & Continue >>
Reset

- (c) Select those checkboxes which are applicable, then select **Save & Continue**. If applicable, the system will display a similar screen with IIROC approval categories.
6. If you are:
- Adding categories to *one* jurisdiction, or
 - *Surrendering* categories to one or more jurisdictions, you may complete the following steps:

- (a) Select a jurisdiction(s) from the **Registration Jurisdictions** page.

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Change of Individual Categories - Item 5 - Registration Jurisdictions

2. Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)
[Nunavut](#)

- (b) Select those checkboxes which are applicable to add or surrender categories in the jurisdiction, then select **Save & Continue**. If you are removing a registration category with an officer title, change the title to “Other” and type “N/A” in the text field. If applicable, the system will display a similar screen with IIROC approval categories.

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Change of Individual Categories - Northwest Territories

Removing categories

What categories are you seeking to remove?

Permitted Activities and Ultimate Designated Person

Officer

Mutual Fund Dealer

Dealing Representative

Adding categories

What categories are you seeking to add?

Permitted Activities and Ultimate Designated Person

Director
 Partner
 Shareholder
 Ultimate Designated Person

Mutual Fund Dealer

Chief Compliance Officer
 Branch Manager (MFDA members only)

If 'Officer' is selected above, indicate the title:

Other

If 'Other' is selected above, specify:

- (c) If you have removed a category, you must provide a Reason for Surrender.

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Add or Remove Registration Categories - Northwest Territories

Registration Categories or Approval Categories Removed

The following categories will be removed.

Permitted Activities and Ultimate Designated Person

Officer

Officer Title: Other
Other Title: n/a

Fee Information
The fees for this submission type will be calculated by the regulator and communicated to the AFR.

3. Reason for surrender

If you are seeking to remove a category or permitted activity, state the reason for the surrender in the local jurisdiction:

No longer required to indicate Officer title per registration reform rules.

Effective Date: / / (YYYY/MM/DD)

- (d) Complete steps (a) – (c) for all the selected jurisdictions if you are surrendering categories in multiple jurisdictions. Once completed, select **Continue** on the jurisdiction hyperlink page.
- (e) If this application is being filed in multiple jurisdictions and the firm is registered in varying categories across those jurisdictions, the system will present a message prompting review of those categories. Use the hyperlink list to review the unique categories in each jurisdiction.

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There are Firm Categories unique to individual jurisdictions that have not been selected via the Common Categories page: Prince Edward Island (Exempt Market Dealer)

Change of Individual Categories - Item 5 - Registration Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)
[Nunavut](#)
[Prince Edward Island](#)
[Yukon](#)

- (f) If you add Quebec and/or are registering as a representative for a Mutual Fund Dealer or Scholarship Plan Dealer, complete the question related to Professional Liability Insurance.

7. Once you have entered the categories for addition or removal, the system will present a summary of the changes.

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Add or Remove Registration Categories - Nunavut

Registration Categories or Approval Categories Added

The following categories will be added.

Permitted Activities and Ultimate Designated Person

Director

Fee Information
The fees for this submission type will be calculated by the regulator and communicated to the AFR.

- (a) If you are attempting to surrender the individual's registration in his/her *last* jurisdiction, you will receive a warning message explaining that you should complete a **33-109F1 Notice of Termination**.
- (b) When an individual relocates to a province in which s/he is not yet registered and is surrendering his/her categories in the current jurisdiction, the AFR must:
- Send an e-mail notice to regulators in each jurisdiction in which the individual is registered, notifying them that the individual is moving to a new jurisdiction. This notice must include the individual's actual working address.

- Make a Registration in an additional jurisdiction submission
- Submit a Residential Address Change notice.

Once the Regulator has approved the Registration in an additional jurisdiction submission, the AFR will:

- File an Employment Location change notice. This submission cannot be filed until the individual is active in the province.
- Submit a Change or Surrender of Individual categories to surrender the registration in the jurisdiction the individual is leaving.

8. **Complete Submission** process:

(a) **Print Submission Page**

Before sending the submission to the Regulators, you can print the submission.

(b) **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.

(c) **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 fees, if any, that are required to be paid to regulators with your submission.

(d) **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 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.