



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO GENERATE AN ANNUAL FEE DETAILED
REPORT

January 2014

HOW TO GENERATE AN ANNUAL FEE DETAILED REPORT

What is the purpose of this report type?

The purpose of this report type is to help firms reconcile their annual fees. The report gives a detailed account of all individual, branch and sub branch, firm category and participation fees for the Preliminary Annual Fee Notice or the Final Annual Fee Summary. The report can be run in three different sorting formats: 1) by individual, 2) by location, and 3) by “Fees paid for”.

1) By Individual

This report sorts and totals by individual registrant. The report outlines each individual with registration status of ‘Active’ or ‘Suspended (Regulatory Action)’* at the time the annual fee process (preliminary or final) was run, category(ies) of registration, jurisdiction, and all fees calculated for the individual.

2) By Location

This report sorts and totals by location (branch, sub branch or head office). The report outlines by location each individual with registration status of ‘Active’ or ‘Suspended (Regulatory Action)’*, category(ies) of registration, jurisdiction, and all fees by location.

3) By “Fees paid for”

This report sorts and totals by the type of fee paid (Commission, IIROC jurisdiction, NRD User Fee). The report outlines by type of fee, each individual with registration status of ‘Active’ or ‘Suspended (Regulatory Action)’* , category(ies) of registration, and all fees by type of fee.

*If a Firm has a registration status of ‘Suspended (Regulatory Action)’ at the time the annual fee process (preliminary or final) is run, then the Firm and Individual Registrants are not included in the fee calculation.

Who can generate this report?

A Chief AFR, AFR or AFR Administrator for a registered firm(s) may complete this function.

How is this report generated?

1. From the main navigation bar, click the **ADMIN TOOLS** button, and then select **REPORTS** from the left menu bar. The system displays the list of reports available for generation. Select **Generate Annual Fee Detailed Report**.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div style="display: flex;"> <div style="width: 20%; border-right: 1px solid black; padding-right: 5px;"> <ul style="list-style-type: none"> Set Up Users Maintain Users Change Password Reset Password Revoke Access Resubmit Fee Payment <li style="background-color: #003366; color: white; padding: 2px;">Reports </div> <div style="width: 80%; padding-left: 10px;"> <h3>25980 - Test Firm 1234 Inc.</h3> <ul style="list-style-type: none"> Generate Reconciliation Report by Submission Generate Reconciliation Report by EFT List Registrants List AFRs Generate Progress Report on Submission for Individuals Included in Data Transfer Generate Permanent Record Report for an Individual Registrant <li style="border: 1px solid red; border-radius: 50%; padding: 2px;">Generate Annual Fee Detailed Report Generate Submission Status Report Generate Termination Follow-up Report Generate 33-109F1 Report Generate Branch Listing Report Recall Report by Number </div> </div>						

2. The system displays the following page for input of the report criteria:

Generate Annual Fee Detailed Report

Please select a "Year" and "Summary Type" to generate an annual fee detailed report.

To generate an "Individual" report type, do not alter the "Location NRD No." field.

To generate a "Location" report type, do not alter the "Fees paid for" field. For a specific location, complete the "Location NRD No." field.

To generate a "Fees paid for" report type, do not alter the "Location NRD No." field and select the appropriate value from the drop down menu.

Year:

Summary Type:

Report Type:

Location NRD No.: To generate a report for all locations, leave 'Location' field blank

Fees Paid For:

Report Format:

PDF

Excel

Comma-separated Values (CSV)

Firms can generate three different reports in order to determine annual fees as grouped by:

- Individual registrant
- Business location
- Fees paid for (Commissions, IIROC, NRD user fees)

The Annual Fee Detailed Report uses the following criteria:

- Year
- Summary type
- Report type
- Location NRD number (if applicable)
- Fees paid for (if applicable)
- Report format

3. Select the year of the fee run and the summary type (preliminary or annual). then select a report type (individual, location or fees paid for). All other criteria can be specified based on which of the three report types is being generated.

To generate a report that is sorted by individuals within a firm, and indicates all annual fees associated with those individuals, select “Individual” for report type; do not input information for “Location NRD Number.”

To generate a report that attributes fees to locations, select “Location” for report type but do not make a change to the “Fees paid for” field. For a report of fees for a specific location, complete the “Location NRD Number” field.

To generate a report that shows annual regulatory fees paid to any or all of the regulators, and/or the NRD System Fees, select the “Fees Paid For” report type and do not include a “Location NRD number” value.

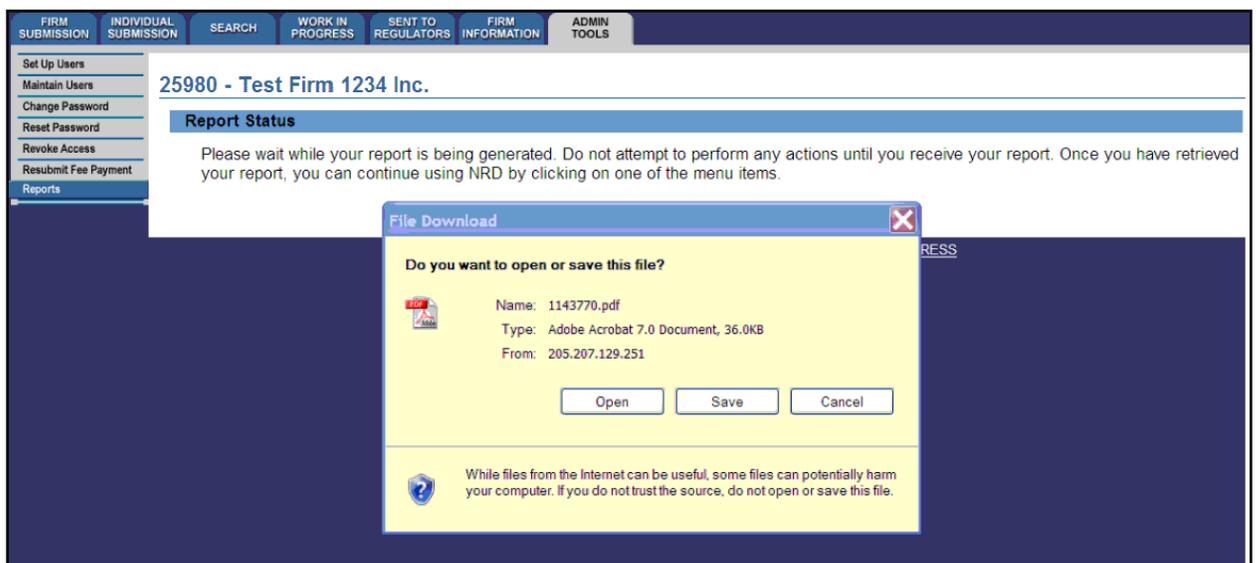
The report then provides the following information grouped according to the report type selected:

- Individual NRD number
- Individual name
- Firm category
- Individual category
- Location number
- UIN No.
- Jurisdiction
- Fee type
- Fee amount

When you have completed your report criteria click **Generate Report**.

4. Once you click **Generate Report**, the system will advise you of the progress of the report's creation. When the report is ready, the system launches the report in the format you selected and a pop-up message appears. This report is available in the formats common to all NRD reports (PDF, Excel or CSV).

Viewing PDF documents requires Adobe Acrobat Reader.



If you select “Save”, you may store the report electronically on your own system database and access it when convenient. If you select “Open”, the system will launch Excel if you selected Excel or CSV formats or Acrobat Reader if you selected PDF format. You can now view and print the report.

NRD Report

Time Run: 4:46:03 pm
 Date Run: 01/04/2011
 Firm NRD No.: 25980
 Firm Name: Test Firm 1234 Inc.
 Year: 2010-12
 Summary Type: Final Annual Fee Notice
 Who Requested Report: Banks, Thomas
 Name of Report: Annual Fee Detailed Report - Individual

Individual NRD No.	Name	Firm Category	Individual Category	Location NRD No.	UIN No.	Jurisdiction	Type	Amount	
110	Smith, John						NRD System Fee	84.75	
								Total:	\$84.75
111	Doe, Jane	Investment Dealer	Dealing Representative	119942		BC	NRD System Fee	197.75	
		Securities, Options & Managed Accounts	Registered Representative	119942		BC	Commission Fee	225.00	
			Securities	119942		BC	IROC Fee	0.00	
			Retail	119942		BC	IROC Fee	0.00	
								Total:	\$447.75
112	Anderson, Suzanne	Investment Dealer	Dealing Representative	95082		BC	NRD System Fee	197.75	
		Securities, Options & Managed Accounts	Registered Representative	95082		BC	Commission Fee	225.00	
			Securities	95082		BC	IROC Fee	0.00	
			Retail	95082		BC	IROC Fee	0.00	
								Total:	\$447.75
113	Grey, Jack	Investment Dealer	Dealing Representative	119942		BC	NRD System Fee	141.25	
		Securities, Options & Managed Accounts	Registered Representative	119942		BC	Commission Fee	225.00	
			Securities	119942		BC	IROC Fee	0.00	
			Retail	119942		BC	IROC Fee	0.00	
								Total:	\$391.25

To save it on your own system, click “File” in the upper left corner of the new window and select “Save as”. You may rename and store the file as appropriate. You will notice that the system generates a report number that is included in the file name for the report.

5. If the system is busy you may receive a message with a report number. This number is available for the next 7 days to retrieve the report under Admin Tools by selecting report option ‘Recall Report by Number’ and entering the recall report number and pressing **Retrieve Report**.

TIP – If you generate the report in one language, that specific report is not viewable in the other official language, even if you log in to the other language version of the site to retrieve it. To view the same criteria in both French and English, you must generate a report from each language version of the site, i.e. log in to the French version of the site to generate a report with French headings.

NOTE - All reports are retrieved within the same business day regardless of the size, although larger reports take longer to produce.