



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO GENERATE A RECONCILIATION REPORT
BY SUBMISSION

January 2011

HOW TO GENERATE A RECONCILIATION REPORT BY SUBMISSION

What is the purpose of this report ?

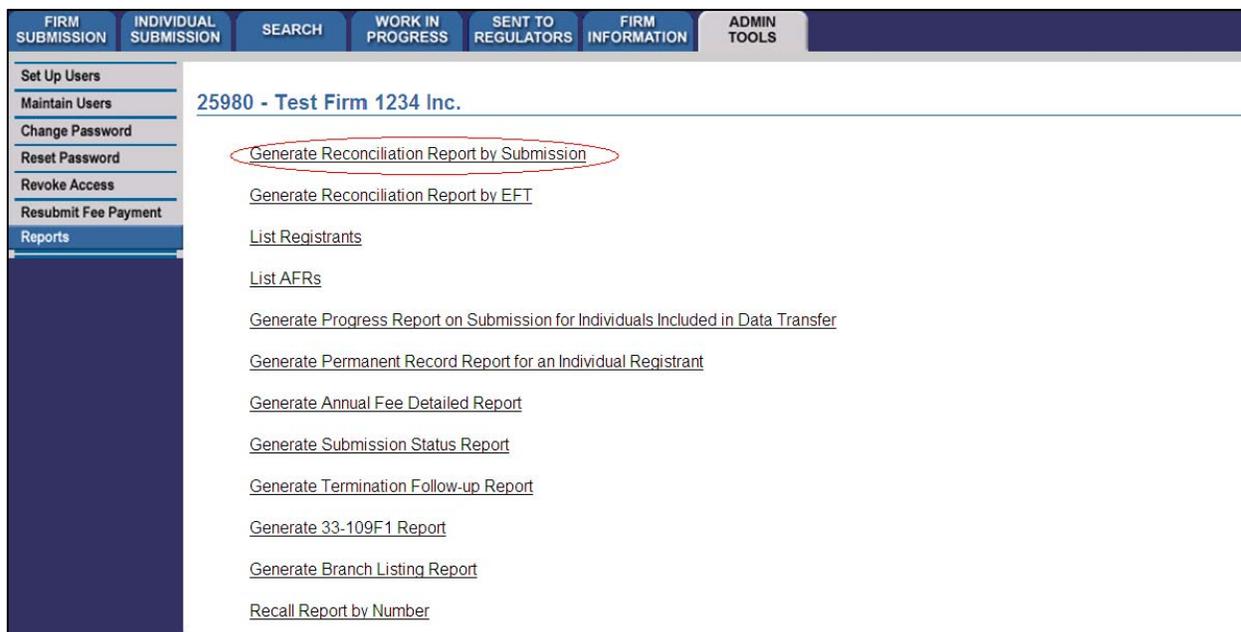
The Reconciliation Report by Submission is a tool for reconciling your firm's NRD account statements to NRD's fee payment records. This report is a listing of submissions made by your firm that shows the submission fees paid and the status of those payments.

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** tab at the top of the screen, and then select **REPORTS** from the left task menu. The system displays the list of reports available for generation. Select **Generate Reconciliation Report by Submission**.



The screenshot displays the NRD system's main navigation bar at the top, with tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The ADMIN TOOLS tab is selected. On the left side, a vertical menu lists various administrative functions, with 'Reports' highlighted. The main content area shows the title '25980 - Test Firm 1234 Inc.' and a list of reports available for generation. The report 'Generate Reconciliation Report by Submission' is circled in red, indicating it is the target of the instructions.

ADMIN TOOLS
Set Up Users
Maintain Users
Change Password
Reset Password
Revoke Access
Resubmit Fee Payment
Reports

25980 - Test Firm 1234 Inc.

- [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](#)
- [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](#)

2. The system displays the following report criteria:

Generate Reconciliation Report by Submission

Please enter information in the "From" and "To" boxes below to create a report showing the status of fees paid for each submission. The remaining fields are optional.

Fee Submission Date: From: / / (YYYY/MM/DD)
To: / / (YYYY/MM/DD)

Submission Type:

Fee Status:

Report Format:
 PDF
 Excel
 Comma-separated Values (CSV)

3. You may generate a Reconciliation Report by Submission based on the criteria: submission type; fee submission date; and fee status.

The Reconciliation Report by Submission arranges data as follows:

- Submission Information: NRD Number; Type
- Applicant Information: NRD Number and Name of Firm or Individual to whom the submission pertains
- Fee Submitter: AFR who made the submission to regulators thereby authorizing the EFT
- Fee Submission: Date; Payment Type; Record Type (C = Credit, D = Debit); Amount and Status (Created, Exchanged, Paid, Returned, Rejected). It is advisable to perform reconciliations using the Exchanged status dates rather than the Paid dates.
- EFT Information: EFT Identifier Number, EFT Process Date

When you have completed selection of 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. [Viewing PDF documents requires Adobe Acrobat Reader.](#)

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25980 - Test Firm 1234 Inc.

Report Status

Please wait while your report is being generated. Do not attempt to perform any actions until you receive your report. Once you have retrieved your report, you can continue using NRD by clicking on one of the menu items.

File Download

Do you want to open or save this file?

 Name: 1143770.pdf
 Type: Adobe Acrobat 7.0 Document, 36.0KB
 From: 205.207.129.251

While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file.

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

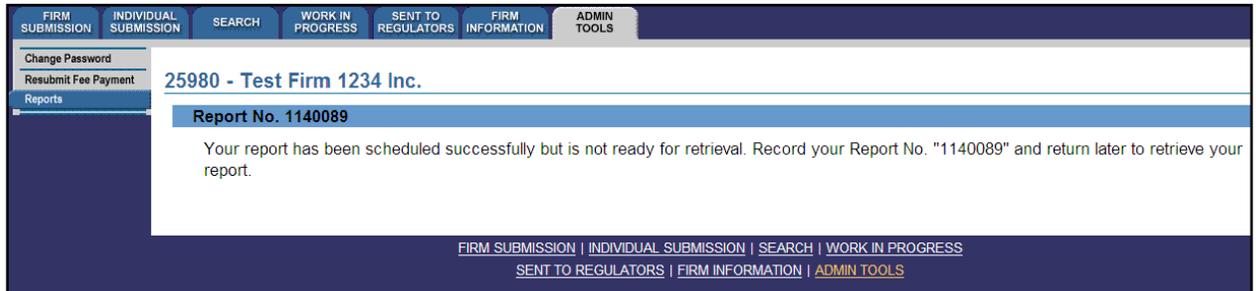
Time Run: 9:02:24pm
 Date Run: 2010/12/16
 Who Requested Report: Banks, Thomas
 Name of Report: Reconciliation Report by Submission
 Submission Type: All
 Fee Submission Date: From 2010-07-01 to 2010-08-30
 Fee Status: All
 Firm NRD No.: 25980

Submission Information		Applicant Information		Fee Submitter		Fee Submission				EFT Information				
No.	Type	NRD No.	Firm Name OR		Last Name	First Name	Date	Payment Type	Record Type	Amount	Payee	Status	EFT Identifier	Process Date
			Last Name	First Name										
201055099	33-109F2 - Change or Surrender of Individual Categories	111	Doe	Jane	NRD Batch	NRD Batch	8/12/2010	Resubmit - Initial	C	250.00	IROC - Head Office (Ontario)	Paid	2010081315	8/19/2010
									C	0.00	NRD Revenue	Paid	201008131	
									D	250.00	Test Firm 1234 Inc.	Paid	2010081355	
					Banks	Thomas			C	250.00	IROC - Head Office (Ontario)	Created	2010081315	8/13/2010
									C	0.00	NRD Revenue	Created	201008131	
									D	250.00	Test Firm 1234 Inc.	Created	2010081355	8/13/2010
20100909	Initial Registration	113	Grey	Jack	NRD Batch	NRD Batch	7/30/2010	Initial	C	240.00	Alberta Securities Commission	Paid	201008033	8/9/2010
									C	225.00	British Columbia Securities Commission	Paid	2010080319	
									C	200.00	IROC - Head Office (Ontario)	Paid	2010080315	
									C	25.00	IROC - Pacific (British Columbia)	Paid	2010080313	

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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 reference number. This number can be used at a later time to retrieve the report by selecting the report menu option ‘Recall Report by Number’ and entering the recall 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.