



**NATIONAL REGISTRATION DATABASE (NRD™) :**  
**HOW TO CHANGE LOCATION STATUS**

**January 2011**

# HOW TO CHANGE LOCATION STATUS

(Complete a Firm Notice Type “Location Status Change”)

## When is this submission type used?

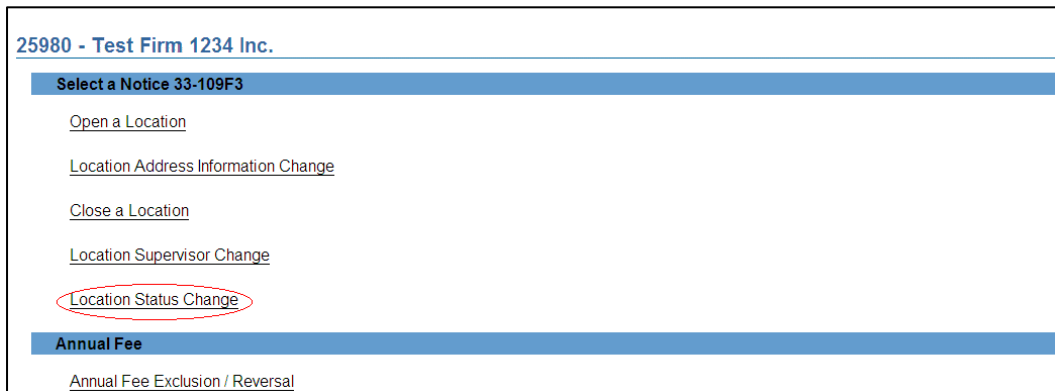
This submission type allows your firm to give notice of a change of Location Status.

## Who can complete this submission?

A Chief AFR, AFR or AFR Administrator for a firm registered in one or multiple jurisdictions may complete this submission.

## How is this submission completed?

1. From the Main Navigation bar, click the **Firm Submission** tab, and then select **Location Status Change** from the list of Firm Notices.



25980 - Test Firm 1234 Inc.

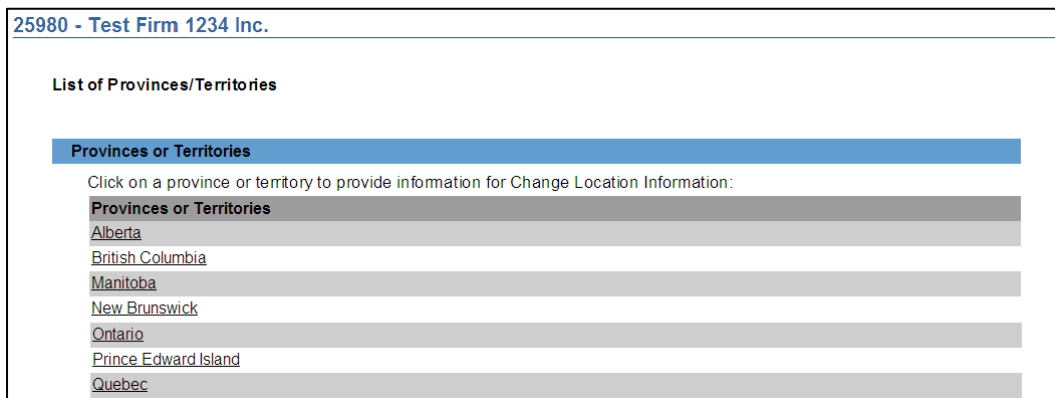
Select a Notice 33-109F3

- [Open a Location](#)
- [Location Address Information Change](#)
- [Close a Location](#)
- [Location Supervisor Change](#)
- [Location Status Change](#)

Annual Fee

[Annual Fee Exclusion / Reversal](#)

2. The system presents a list of the jurisdictions in which your firm is currently registered or applying to be registered (Active or Suspended). Select the province or territory in which your firms wishes to change a location type.



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List of Provinces/Territories

Provinces or Territories

Click on a province or territory to provide information for Change Location Information:

- [Alberta](#)
- [British Columbia](#)
- [Manitoba](#)
- [New Brunswick](#)
- [Ontario](#)
- [Prince Edward Island](#)
- [Quebec](#)

- The system presents a search form for the jurisdiction selected. You may search by the location's NRD Number, by location type (Branch or Business Location or Sub-Branch); the NRD No. of Supervisor or by elements of the location address ("Address Contains" and "City"). Click **Search** to view the results. Select the desired location by clicking on the hyperlink of that location's NRD number.

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**Search for Location - Results**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search:

NRD Location Number:

**OR**

Address Contains:

City:

Province/Territory:

Type of Location:

NRD No. of Supervisor:

**Search Results**

Showing Results: 1-5 of 5

NRD Location Number	Address Line 1	City	Province	Type of Location
<a href="#">304282</a>	2775 Lancaster Road	Ottawa	Ontario	Branch or Business Location
<a href="#">317222</a>	1514 EDGECLIFFE AVENUE	OTTAWA	Ontario	Sub-branch
<a href="#">3884304</a>	929 Hamlet Rd.	Ottawa	Ontario	Sub-branch

- The system displays the current information for the selected location. Confirm that this is the correct location and click the **Change in Location Type** button at the bottom of the page. If this is not the correct location, you may click **Cancel** to return to the location search page.

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**Change in Location Type**

**Item 1 - Type of business location**

Type of business location: Sub-branch  
Location NRD number: 3884304

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable) 123456  
Last Name: Doe  
First Name: Jane

**Item 3 - Business location information**

Address Line 1: 929 Hamlet Rd.  
Address Line 2:(if applicable)  
City: Ottawa  
Province/Territory/State: Ontario  
Postal/ZIP Code: K1G 1R3  
Country: Canada  
Telephone number: 613-111-1111  
Fax number: 866-222-2222

**Mailing address**

Same as Above:

- The system displays the form to change the location type. Change the location type in the drop-down menu at the top of the page, and enter an effective date for the change. The effective date must be a past or current date. Click **Save & Continue** to proceed.

**25980 - Test Firm 1234 Inc.**

**Change Location Type**

**Item 1 - Type of business location**

Type of business location:

Location NRD number: 3884304

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

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable) 123456

Last Name: Doe

First Name: Jane

**Item 3 - Business location information**

Address Line 1: 929 Hamlet Rd.

Address Line 2:(if applicable)

City: Ottawa

Province/Territory/State: Ontario

Postal/ZIP Code: K1G 1R3

Country: Canada

Telephone number: 613-111-1111

Fax number: 866-222-2222

**Mailing address**

Same as Above:

The system verifies that you have entered all required information and guides you through the Complete Submission process.

**TIP – Only one location can be updated per submission.**

- The system verifies that you have entered all required information and guides you through the **Complete Submission** process.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
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**Location Status**

First Page **25980 - Test Firm 1234 Inc.**

**Re-Assign Submission**

**Complete Submission**

**Complete Submission - 201132 - Location Status Change**

*Warning: If you click on 'Continue>>' you can no longer edit the submission.*

**Confirmation**

All information required for your submission has been entered.

To forward the submission to regulators, click on 'Continue >>'.

Click on 'Return to Task Menu' to save as Work in Progress.

[FIRM SUBMISSION](#) | [INDIVIDUAL SUBMISSION](#) | [SEARCH](#) | [WORK IN PROGRESS](#)  
[SENT TO REGULATORS](#) | [FIRM INFORMATION](#) | [ADMIN TOOLS](#)

When you are ready, click **Continue** or **Complete Submission** on the local navigator.

7. If you prefer not to make the submission at this point, you may click the **Return to Task Menu** button to perform other tasks. The submission will be saved in your **Work in Progress**. The submission is preserved up to the last successful save.

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.