



**NATIONAL REGISTRATION DATABASE (NRD™) :**

**HOW TO CHANGE A LOCATION  
SUPERVISOR**

**September 2009**

# HOW TO CHANGE A LOCATION SUPERVISOR

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

## When is this submission type used?

This submission type allows your firm to give notice of a change to the Location Supervisor at a particular branch or sub-branch.

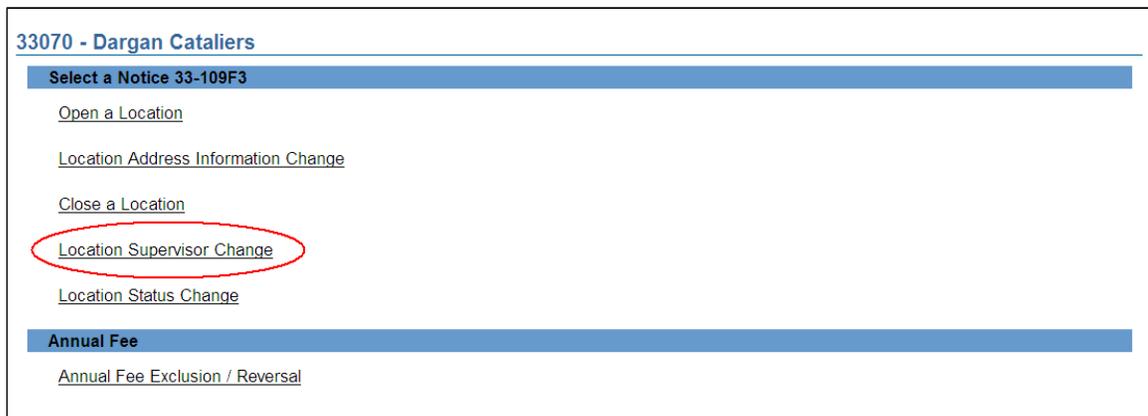
[**Note:** There is no notice on NRD to change the Head Office Compliance Officer. Contact your regulator for instructions on making changes outside the system.]

## Who can complete this submission?

An AFR for a firm registered in 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 Supervisor Change from the list of Firm Notices.



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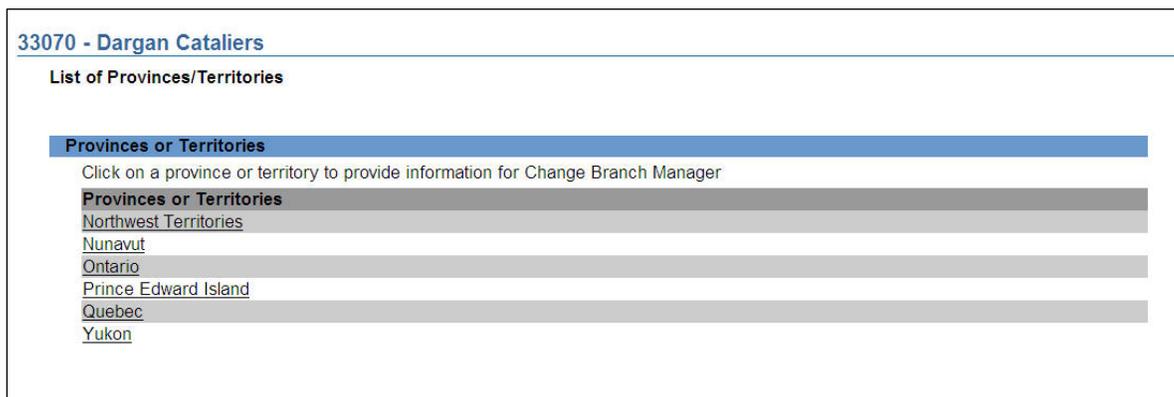
Select a Notice 33-109F3

- [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 jurisdictions in which your firm is registered (Active or Suspended). Click the province or territory where the firm wishes to change the Supervisor of the firm location.



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List of Provinces/Territories

Provinces or Territories

Click on a province or territory to provide information for Change Branch Manager

- [Provinces or Territories](#)
- [Northwest Territories](#)
- [Nunavut](#)
- [Ontario](#)
- [Prince Edward Island](#)
- [Quebec](#)
- [Yukon](#)

- The system then presents a **Search for Location** screen. Enter the desired criteria to retrieve the location for which you are preparing a submission.

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**Search for Location**

**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: Northwest Territories

Type of Location: Branch or Business Location

NRD No. of Supervisor:

- When you are ready, click **Search**. The system executes the search according to your criteria and presents the results at the bottom of the screen. Select the desired location by clicking its 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: Northwest Territories

Type of Location: Branch or Business Location

NRD No. of Supervisor:

**Search Results**

Showing Results: 1-4 of 4

<u>NRD Location Number</u>	<u>Address Line 1</u>	<u>City</u>	<u>Province</u>	<u>Type of Location</u>
<a href="#">556892</a>	5 Lakeview Terrace	Yellowknife	Northwest Territories	Branch or Business Location
<a href="#">556902</a>	33 Old Post Road	Yellowknife	Northwest Territories	Branch or Business Location
<a href="#">567112</a>	1 Commerce Building	Yellowknife	Northwest Territories	Branch or Business Location

There is no notice on NRD to change Compliance Officer information for the firm's Head Office. Contact your regulator for instructions on making changes outside the system.

- The system displays the current information for the location selected, including the current supervisor. Verify that this is the correct location and click the **Location Supervisor Change** 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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**Location Supervisor Change**

**Item 1 - Type of business location**

Type of business location: Branch or Business Location  
 Location NRD number: 556892

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable) 2423371  
 Last Name: Judith  
 First Name: Davis

**Item 3 - Business location information**

Address Line 1: 5 Lakeview Terrace  
 Address Line 2:(if applicable)  
 City: Yellowknife  
 Province/Territory/State: Northwest Territories  
 Postal/ZIP Code: L0L0L0  
 Country: Canada  
 Telephone number: 867-555-1212 ext.  
 Fax number: 867-555-1212

**Mailing address**

Same as Above:

- The system displays the form for changing the Location Supervisor.

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**Location Supervisor Change**

**Item 1 - Type of business location**

Type of business location: Branch or Business Location  
 Location NRD number: 556892

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable)   
 Last Name: Judith  
 First Name: Davis  
 Effective Date:  /  /  (YYYY/MM/DD)

**Item 3 - Business location information**

Address Line 1: 5 Lakeview Terrace  
 Address Line 2:(if applicable)  
 City: Yellowknife  
 Province/Territory/State: Northwest Territories  
 Postal/ZIP Code: L0L0L0  
 Country: Canada  
 Telephone number: 867-555-1212 ext.  
 Fax number: 867-555-1212

**Mailing address**

Same as Above:

7. Enter the new supervisor's NRD number and an effective date. The effective date must be a past or current date.

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**Location Supervisor Change**

**Item 1 - Type of business location**

Type of business location: Branch or Business Location  
 Location NRD number: 556892

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable)   
 Last Name: Judith  
 First Name: Davis  
 Effective Date:  /  /  (YYYY/MM/DD)

**Item 3 - Business location information**

Address Line 1: 5 Lakeview Terrace  
 Address Line 2:(if applicable)  
 City: Yellowknife  
 Province/Territory/State: Northwest Territories  
 Postal/ZIP Code: L0L0L0  
 Country: Canada  
 Telephone number: 867-555-1212 ext.  
 Fax number: 867-555-1212

**Mailing address**

Same as Above:

8. When you are ready, click **Save & Continue**. The system will validate the new supervisor's NRD number and redisplay the screen. As long as the NRD number is valid for an individual currently associated with your firm, the screen will now show the new supervisor's name and NRD number. The screen also displays a message advising you to confirm your change. When you are ready, click **Save & Continue** again to complete the submission.

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*Click on 'Save & Continue' to confirm that the information is correct.*

**Location Supervisor Change**

**Item 1 - Type of business location**

Type of business location: Branch or Business Location  
 Location NRD number: 556892

**Item 2 - Supervisor or branch manager**

NRD number:(if applicable)   
 Last Name: Brown  
 First Name: Linda  
 Effective Date:  /  /  (YYYY/MM/DD)

**Item 3 - Business location information**

Address Line 1: 5 Lakeview Terrace  
 Address Line 2:(if applicable)  
 City: Yellowknife  
 Province/Territory/State: Northwest Territories  
 Postal/ZIP Code: L0L0L0  
 Country: Canada  
 Telephone number: 867-555-1212 ext.  
 Fax number: 867-555-1212

**Mailing address**

Same as Above:

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

10. **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.