



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO CLOSE A LOCATION

January 2011

HOW TO CLOSE A LOCATION

(Complete a Firm Notice Type “Close a Location”)

When is this submission type used?

This submission type allows your firm to give notice of a location closing other than Head Office.

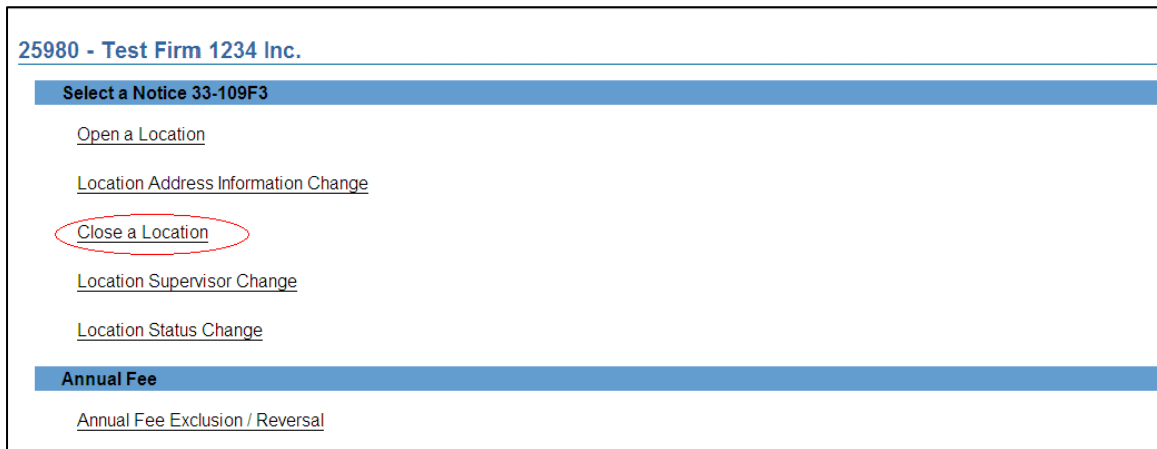
[**Note:** There is no notice on NRD to close the Head Office or Address for Service. Contact your regulator for instructions on making changes outside the system.]

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 **Close a Location** from the list of Firm Notices.



25980 - Test Firm 1234 Inc.

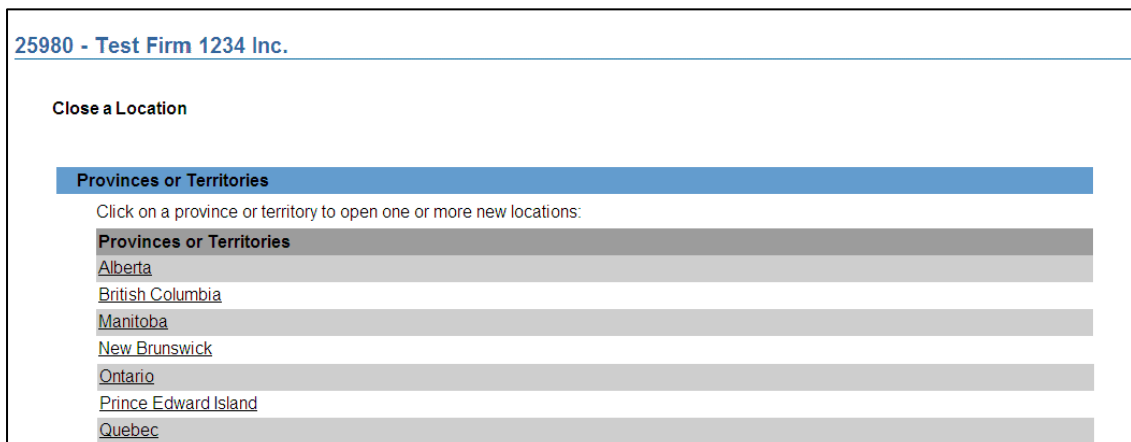
Select a Notice 33-109F3

- [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 firm wishes to close a location.



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Close a Location

Provinces or Territories

Click on a province or territory to open one or more new locations:

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

- The system presents a **Search for Location** screen 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”).

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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: 1-3 of 3

<u>NRD Location Number</u>	<u>Address Line 1</u>	<u>City</u>	<u>Province</u>	<u>Type of Location</u>
94852	1770 WOODWARD DRIVE	OTTAWA	Ontario	Branch or Business Location
346832	1737 Woodward Drive	Ottawa	Ontario	Branch or Business Location
488192	220-1419 Carling Avenue	Ottawa	Ontario	Sub-branch

- Select the desired location from the search results by clicking the hyperlink of that location’s NRD number. The system displays the current record for that location. Verify that this is the correct location and click the **Close Location** 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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Close a Location

Item 1 - Type of business location

Type of business location: Sub-branch
 Location NRD number: 488192

Item 2 - Supervisor or branch manager

NRD number:(if applicable) 6441
 Last Name: CLARKE
 First Name: GREGORY

Item 3 - Business location information

Address Line 1: 220-1419 Carling Avenue
 Address Line 2:(if applicable)
 City: Ottawa
 Province/Territory/State: Ontario
 Postal/ZIP Code: K1Z 7L6
 Country: Canada
 Telephone number: 613-722-1854 ext.
 Fax number: 613-722-6579

Mailing address

Same as Above:

- To close the location, enter an effective date for the closure and click **Save & Continue**. The effective date must be a past or current date.

25980 - Test Firm 1234 Inc.

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Address Line 1: 220-1419 Carling Avenue
 Address Line 2:(if applicable)
 City: Ottawa
 Province/Territory/State: Ontario
 Postal/ZIP Code: K1Z 7L6
 Country: Canada
 Telephone number: 613-722-1854 ext.
 Fax number: 613-722-6579

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

6. The system will display a list of all individuals, if any, that are still working at the location to be closed:

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Close a Location

Location Information

Individuals are still working at this location. Submissions to terminate or relocate the following individuals are required.

NRD No.	Registrant
227661	TERRENCE, JOANNA
242751	CHAN, PATRICK
150191	OLSEN, FRED

Continue >>

7. The system will allow you to complete the submission even if individuals are still listed at this location. However, you should make a note of these individuals and deal with their status at your firm. Specifically, you should complete one of the following submissions for each individual, as appropriate:
- (a) Employment Location Change; or
 - (b) Notice of Termination

If you decide to deal with the status of these individuals before completing the Close a Location submission, simply click Individual Submission or any other tab or link on your screen to exit this submission. This submission will be saved in your Work In Progress, where you can retrieve it at a later time.

8. If you decide to complete the submission before dealing with the individuals still listed with the location, click Continue at the bottom of the screen or click the Complete Submission button from the local navigator to complete your submission. The system verifies that you have entered all required information and guides you through the **Complete Submission** process.

TIP – NRD does not have a “Re-Open Location” submission, therefore closed locations cannot be re-opened under the same NRD number. To effectively re-open a location, you must complete an Open a Location submission, re-entering all data for the location in question. The location will be assigned a new NRD number.

TIP – To view information for closed locations click **Firm Information** on the main navigator, then **Other Locations** on the local navigator. Click the yellow **Closed Locations** button near the upper right of that screen.

TIP – Only one location can be closed in a submission.

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

The screenshot shows a web application interface for completing a submission. The top navigation bar includes tabs for 'FIRM SUBMISSION', 'INDIVIDUAL SUBMISSION', 'SEARCH', 'WORK IN PROGRESS', 'SENT TO REGULATORS', 'FIRM INFORMATION', and 'ADMIN TOOLS'. The left sidebar has a local navigator with options: 'Close Location', 'First Page', 'Re-Assign Submission', and 'Complete Submission' (which is highlighted in yellow). The main content area displays the title '25980 - Test Firm 1234 Inc.' and the subtitle 'Complete Submission - 201112 - Close a Location'. A red warning message states: 'Warning: If you click on 'Continue>>' you can no longer edit the submission.' Below this, a 'Confirmation' section reads: '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.' At the bottom, there are two buttons: 'Continue >>' and 'Return to Task Menu'.

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

10. 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**.
11. 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.