



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

January 2011

HOW TO OPEN A LOCATION

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

When is this submission type used?

This submission type allows your firm to give notice of the opening of a Location other than Head Office.

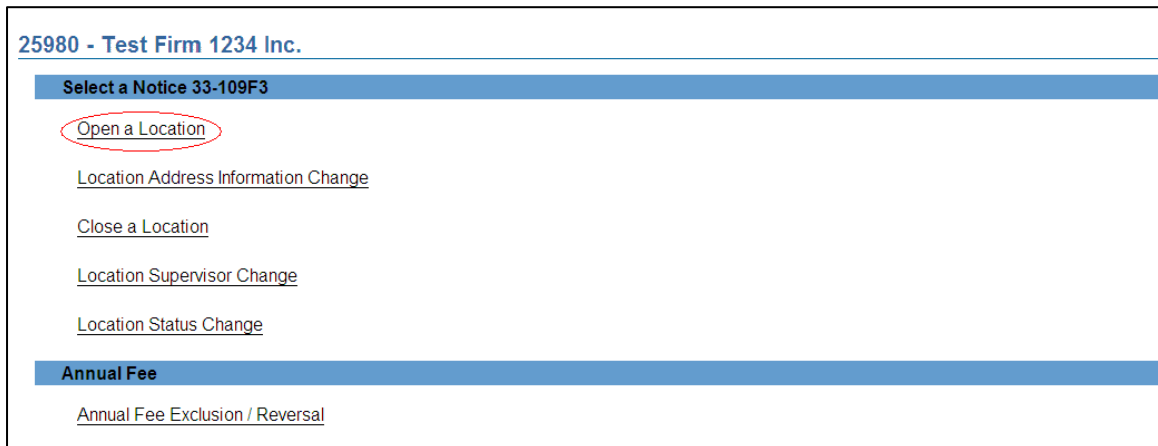
[**Note:** There is no notice on NRD to change the Head Office Location. Contact your regulator for instructions on making changes outside the system.]

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.

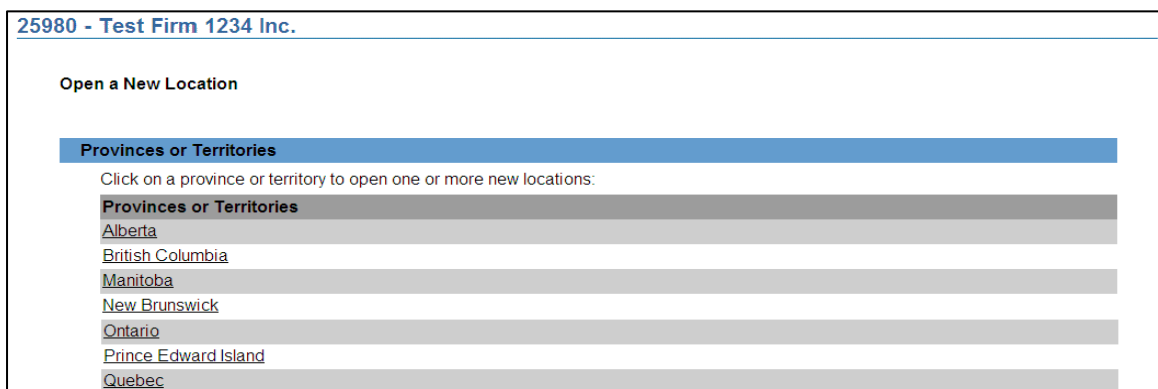
How is this submission completed?

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



The screenshot shows a web interface for a firm named "25980 - Test Firm 1234 Inc.". Under the heading "Select a Notice 33-109F3", there is a list of options: "Open a Location" (circled in red), "Location Address Information Change", "Close a Location", "Location Supervisor Change", and "Location Status Change". Below this list is a section titled "Annual Fee" with the option "Annual Fee Exclusion / Reversal".

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



The screenshot shows a web interface for a firm named "25980 - Test Firm 1234 Inc.". Under the heading "Open a New Location", there is a section titled "Provinces or Territories" with the instruction "Click on a province or territory to open one or more new locations:". Below this instruction is a list of provinces and territories: "Alberta", "British Columbia", "Manitoba", "New Brunswick", "Ontario", "Prince Edward Island", and "Quebec".

3. The system presents the form required for opening a location. Information required includes the NRD number of the individual who will act as location supervisor/branch manager, location type (Branch or Business Location or Sub-branch), as well as address and contact information for the new location. -

25980 - Test Firm 1234 Inc.

Open a New Location

Item 1 - Type of business location

Type of business location:

Location NRD number:

Item 2 - Supervisor or branch manager

NRD number:

Item 3 - Business location information (do not use a P.O. box)

Address Line 1:

Address Line 2:(if applicable)

City:

Province/Territory:

Postal/ZIP Code:

Country:

Telephone number: ext. (if applicable)

Fax number:

Mailing address

Same as Above:

Address Line 1:

Address Line 2: (if applicable)

City:

Province/Territory:

Postal Code:

Country:

When the form is completed and this is the only location to be added, click on **Save & Continue** and proceed to step 5.

4. Click **Add Another** if you wish to open additional locations in the selected jurisdiction, as part of the same submission. Clicking **Reset** will clear all fields to the values of the last successful save.

Once all the locations have been added, to view a summary of the locations you are applying to open, click **Save & Continue**.

If you exit the system or are interrupted during the preparation of the submission, you may retrieve the submission from your **Work in Progress** tab on the main navigator. The submission is preserved up to the last successful save.

TIP – You can open multiple locations in a single submission provided these locations are all in the same jurisdiction. Ensure that all information is correct, or else the entire notice - each location included in the notice, might be subject to withdrawal by the regulator.

TIP – When typing in the city name, be sure to use the standard spelling. The system treats locations with different spellings of cities as being located in different cities. For example, if your firm’s AFRs are using inconsistent spellings for a city (“Sault Ste. Marie”. “Sault St. Marie”, “Sault Ste-Marie”; or “Toronto”, “TO”, “GTA”) the system recognizes these as three different cities.

TIP – Obtain the individual NRD number of the supervisor(s) before starting this submission. These individuals must be registered or applying for registration with your firm.

- After clicking on **Save & Continue**, the system will display the location(s) for which you have completed the form. From the summary page you may add more locations by clicking **Add Another** or proceed to completing and sending the submission to regulators.

25980 - Test Firm 1234 Inc.

Open a Location

Location Information

Click on a link to edit location information:

Location NRD number	Address	Supervisor or branch manager NRD number	Last Name	First Name
630322	250 Queen Street West	48181	MURRAY	ALAN
630312	100 Main Street	1882641	Doe	Jane
630302	1222 Lakeshore Road West	292541	Smith	George

- When you are ready, click **Continue** or **Complete Submission** on the local navigator. The system will verify that all required information is entered and will guide you through the Complete Submission process.

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

[Open location](#)
[First Page](#)
[Re-Assign Submission](#)
[Complete Submission](#)

25980 - Test Firm 1234 Inc.

Complete Submission - 2010278380 - Open a Location

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

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**.

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.