



**NATIONAL REGISTRATION DATABASE (NRD™) :**  
**HOW TO COMPLETE A NOTICE OF TERMINATION**

**July 2011**

# HOW TO COMPLETE A NOTICE OF TERMINATION

## (Complete Form 33-109F1 : NRD Submission “Notice of Termination of Registered Individuals and Permitted Individuals”)

### When is this submission type used?

This submission type is used to give notice of the termination of employment of a registered or permitted individual with your firm for all the jurisdictions in which s/he is active. This submission must be filed with Regulators within 10 days of the employment termination.

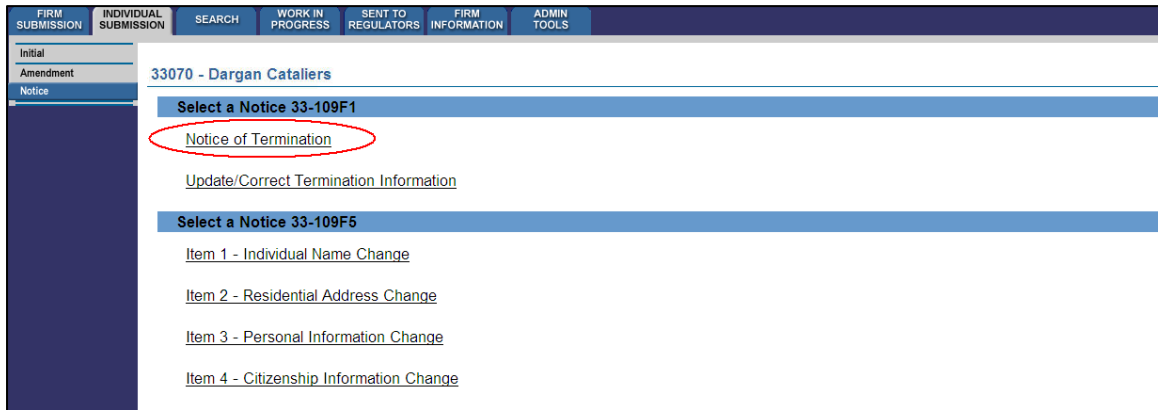
[Note: if the individual is registered with your firm in more than one jurisdiction and is not surrendering registration in all of these jurisdictions, complete the **Amendment – Change or Surrender of Individual Categories** for only the applicable jurisdiction(s), and not the Notice of Termination.]

### 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, select **Individual Submission**. Then click **Notice** on the list of Individual submission types, and then **Notice of Termination** from the list of notice types. The system displays a search screen.



The screenshot shows a web application interface with a navigation bar at the top containing tabs for 'FIRM SUBMISSION', 'INDIVIDUAL SUBMISSION', 'SEARCH', 'WORK IN PROGRESS', 'SENT TO REGULATORS', 'FIRM INFORMATION', and 'ADMIN TOOLS'. On the left, a sidebar menu has 'Initial', 'Amendment', and 'Notice' options. The main content area is titled '33070 - Dargan Cataliers' and features a section 'Select a Notice 33-109F1' with a red circle around the 'Notice of Termination' link. Below this are links for 'Update/Correct Termination Information' and another 'Select a Notice 33-109F5' section with four sub-links: 'Item 1 - Individual Name Change', 'Item 2 - Residential Address Change', 'Item 3 - Personal Information Change', and 'Item 4 - Citizenship Information Change'.

2. The system displays a search screen. Enter the NRD number of the individual to be terminated on the search screen and click **Continue**.



The screenshot shows a search screen titled '33070 - Dargan Cataliers'. It features a text input field labeled 'NRD No.:' containing the value '2427151'. Below the input field are two buttons: 'Continue >>' and 'Reset'.

3. The system retrieves the record corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. When you are ready click **Continue**.

<b>2427151 - Martin, Jean</b>	<b>33070 - Dargan Cataliers</b>
<b>Confirmation Page</b>	
<b>Item 3 Business location of the terminated individual</b>	
NRD number:	40382
Address Line 1:	1002, rue Sherbrooke Ouest
City:	Montréal
Province/Territory:	Quebec
<b>Registration Categories</b>	
<b>Northwest Territories</b>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
<b>Nunavut</b>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
<b>Prince Edward Island</b>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
<b>Quebec</b>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
<input type="button" value="Continue &gt;&gt;"/>	
<input type="button" value="Cancel"/>	

4. The system displays **Item 4 – Date and reason for termination**. Enter the effective date of the termination. The effective date cannot be a future date. Check the reason for termination and click **Save & Continue**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Date and reason for termination

**Item 4 Date and reason for termination**

1. Cessation date / Effective date of termination  /  /  (YYYY/MM/DD)  
This is the first day that the individual ceased to have authority to act in a registerable capacity on behalf of the firm or ceased to be a permitted individual.

2. Reason for termination / cessation (check one):

- Resigned - voluntary
- Resigned - at the firm's request
- Dismissed in good standing
- Dismissed for cause
- Completed temporary employment contract
- Retired
- Deceased
- Other

5. The system displays **Item 5 – Details about the termination**. Follow the directions on the screen to complete this item.

## Details about the termination

## Item 5 Details about the termination

Complete Item 5 except where the individual is deceased. In the space below:

\* state the reason(s) for the cessation / termination and

\* provide details if the answer to any of the following questions is "Yes".

This information will be disclosed within 30 days of the effective date of termination

Not applicable: individual is deceased

Answer the following questions to the best of the firm's knowledge.

In the past 12 months:

1. Was the individual charged with any criminal offence?

Yes  No

2. Was the individual the subject of any investigation by any securities or financial industry regulator?

Yes  No

3. Was the individual subject to any significant internal disciplinary measures at the firm or at any affiliate of the firm related to the individual's activity as a registrant?

Yes  No

4. Were there any written complaints, civil claims and/or arbitration notices filed against the individual or against the firm about the individual's securities-related activities that occurred while the individual was registered or a permitted individual authorized to act on behalf of the firm?

Yes  No

5. Does the individual have any undischarged financial obligations to clients of the firm?

Yes  No

6. Has the firm or any affiliate of the firm suffered significant monetary loss or harm to its reputation as a result of the individual's actions?

Yes  No

7. Did the firm or any affiliate of the firm investigate the individual relating to possible material violations of fiduciary duties, regulatory requirements or the compliance policies and procedures of the firm or any affiliate of the firm? Examples include making unsuitable trades or investment recommendations, stealing or borrowing client money or securities, hiding losses from clients, forging client signatures, money laundering, deliberately making false representations and engaging in undisclosed outside business activity.

Yes  No

8. Did the individual repeatedly fail to follow compliance policies and procedures of the firm or any affiliate of the firm?

Yes  No

9. Did the individual engage in discretionary management of client accounts or otherwise engage in registerable activity without appropriate registration or without the firm's authorization?

Yes  No

Reasons/Details:

Resigned due to a family matter.

Save & Continue >>

Reset

The system will display a warning message if there are any pending submissions for this individual. You may leave the termination submission at this point to deal with these pending submissions. It will automatically be saved in your Work in Progress for later reference. Alternatively, you may continue with the termination submission without dealing with the individual's other pending submission. The system will allow you to complete and send the submission to regulators.

6. When you are ready, click **Save & Continue**.

(a) The system will display a warning message if you are about to terminate an individual who is currently a location supervisor with your firm. In this case, you may wish to complete a **Location Supervisor Change** submission, or apply to the regulator to update the "Compliance Officer" information for your Head Office, if appropriate, before completing this individual's termination. In this case you may leave the termination submission and it will be saved in your **Work in Progress** for future reference.

(b) The system will allow you to complete the termination even if you do not make these changes first. Click **Save & Continue** again to confirm the termination of the individual. However, the regulator will not approve the Notice of Termination until you have submitted the appropriate Location Supervisor Change notices or contacted the regulator to change the Head Office Compliance Officer (as appropriate).

7. The system verifies that you have entered all required data and guides you through the **Complete Submission** process. The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

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.