



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO UPDATE/CORRECT TERMINATION
INFORMATION

July 2011

HOW TO UPDATE/CORRECT TERMINATION INFORMATION

(Complete Form 33-109F1 : NRD Submission “Update/Correct Termination Information”)

When is this submission type used?

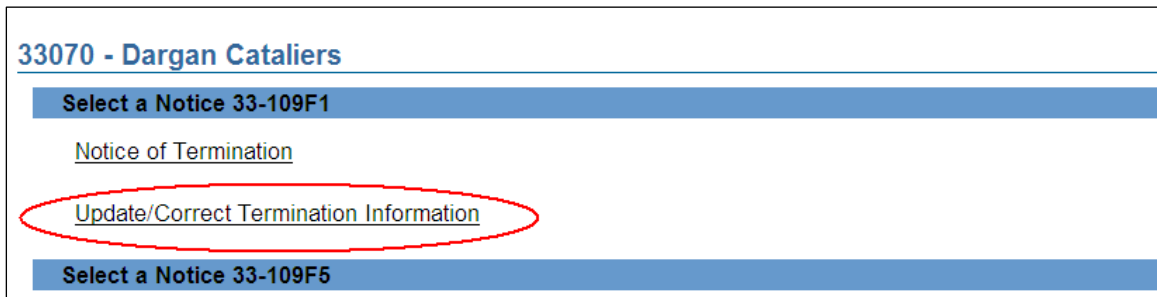
This submission type is used to update Item 5 – Details of the Termination when a Notice of Termination has already been filed. It is also used to correct termination information that was previously submitted to regulators for an individual that is terminated by your firm. This submission can only be filed if the previous termination information has been approved by regulators.

Who can complete this submission?

An AFR for a firm registered in multiple jurisdictions may complete this notice.

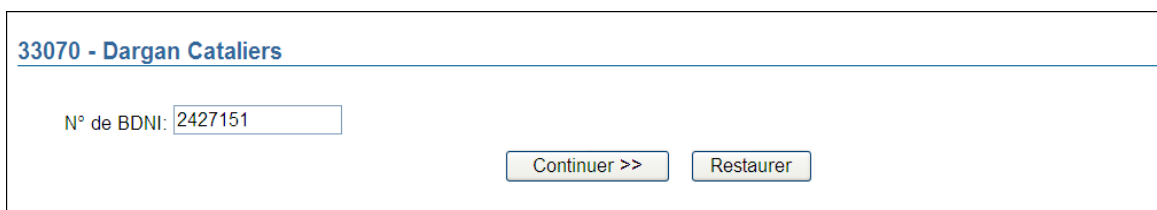
How is this submission completed?

1. From the Main Navigation bar, select **Individual Submission**. Then click **Notice** on the list of Individual submission types, and then **Update/Correct Termination Information** from the list of notice types.



The screenshot shows a web interface for '33070 - Dargan Cataliers'. At the top, there is a blue header with the text '33070 - Dargan Cataliers'. Below this, there is a blue bar with the text 'Select a Notice 33-109F1'. Underneath, there are two links: 'Notice of Termination' and 'Update/Correct Termination Information'. The 'Update/Correct Termination Information' link is circled in red. At the bottom, there is another blue bar with the text 'Select a Notice 33-109F5'.

2. The system displays a search screen on which to identify the individual in question. Enter that individual's NRD number and click **Continue**.



The screenshot shows a search screen for '33070 - Dargan Cataliers'. At the top, there is a blue header with the text '33070 - Dargan Cataliers'. Below this, there is a text input field labeled 'N° de BDNI:' with the value '2427151' entered. To the right of the input field, there are two buttons: 'Continuer >>' and 'Restaurer'.

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

2427151 - Martin, Jean 33070 - Dargan Cataliers

Update/Correct Termination Information

Item 3 Business location of the terminated individual

NRD number:	40382
Address Line 1:	1002, rue Sherbrooke Ouest
City:	Montréal
Province/Territory:	Quebec

Registration Categories

Northwest Territories

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Nunavut

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Prince Edward Island

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Quebec

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

4. The system displays a comment box to include the reason you are filing the update or correction.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Update/Correct Termination Information

Correction Details

Reason For Correction :

The original termination notice did not accurately reflect the correct termination details.

Save & Continue >> Reset

In the “**Reason for Correction**” text field explain the reason for the update or correct. Click **Save & Continue**.

5. The system will display the **Item 4 – Date and reason for termination** screen with information copied from the last approved Notice of Termination Submission.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Update/Correct Termination Information

Item 4 Date and reason for termination

1. Cessation date / Effective date of termination 2011 / 06 / 01 (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

Save & Continue >> Reset

Edit the screen as required to update or correct the information and select **Save & Continue**.

6. The system will display the **Item 5 – Details about the termination** screen with information copied from the last approved Notice of Termination Submission.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Update/Correct Termination Information

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.

Edit the screen as required to update or correct the information and select **Save & Continue**.

7. 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.