



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO GENERATE A TERMINATION FOLLOW-UP
REPORT

November 2010

HOW TO GENERATE A TERMINATION FOLLOW-UP REPORT

What is the purpose of this report type?

A termination follow-up report is a listing of individuals in your firm who have been identified as Suspended but have not yet filed the required Submission types. This report may be used as a tool for follow-up with these individuals to ensure that the correct Submission types are sent to the Regulators within the filing deadlines under NI 33-109.

The report will list individuals in the following states of termination:

Suspended (Pending Termination): An individual shows on the report as SUSPT when they have left the employment of your firm and reinstated with a new sponsoring firm, and your firm is required to file form 33-109F1 - *Notice of Termination*.

Suspended (Employment Termination): An individual shows on the report as SUSET when your firm has filed items 1 through 4 of form 33-109F1 - *Notice of Termination*, but has not yet filed item 5 - *Details about the Termination*.

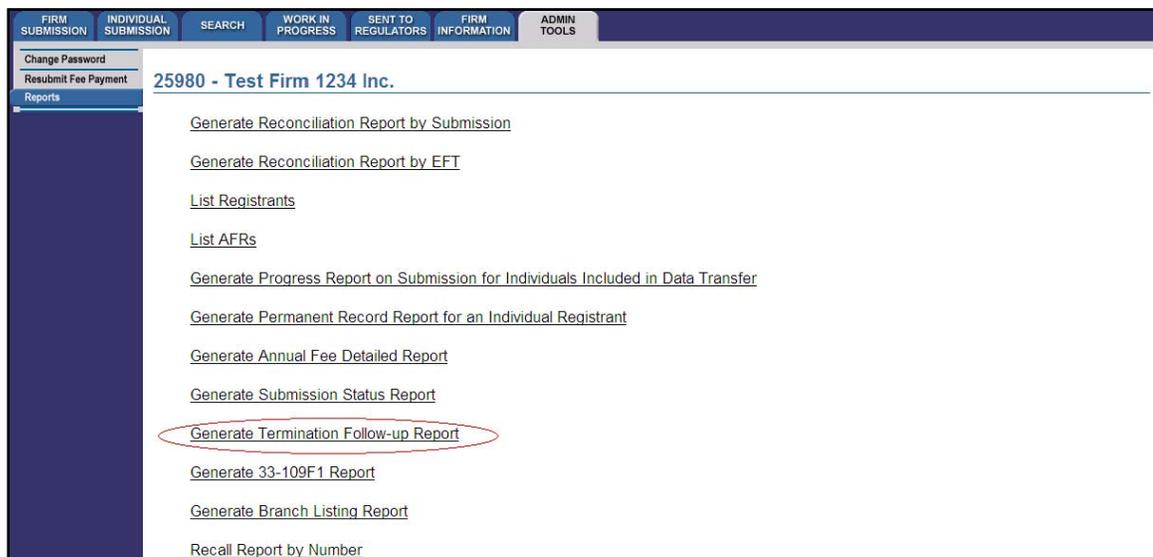
Suspended (Annual Fee): An individual shows on the report as SUSAF when your firm has excluded the individual from the annual fee pull and is required to file form 33-109F1 - *Notice of Termination* or form 33-109F2 - *Change or Surrender of Individual Categories*.

Who can generate this report?

A Chief AFR, AFR or AFR Administrator for a firm registered in multiple jurisdictions may complete this function.

How is this report generated?

1. From the Main Navigation bar, click the **ADMIN TOOLS** button, and then select **REPORTS** from the left menu bar. The system displays the list of reports available for generation. Select **Generate Termination Follow-up Report**.



The screenshot shows a web application interface with a top navigation bar containing buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below the navigation bar is a left-hand menu with options: Change Password, Resubmit Fee Payment, and Reports. The main content area displays the firm name '25980 - Test Firm 1234 Inc.' and a list of report generation options: Generate Reconciliation Report by Submission, Generate Reconciliation Report by EFT, List Registrants, List AFRs, Generate Progress Report on Submission for Individuals Included in Data Transfer, Generate Permanent Record Report for an Individual Registrant, Generate Annual Fee Detailed Report, Generate Submission Status Report, Generate Termination Follow-up Report (circled in red), Generate 33-109F1 Report, Generate Branch Listing Report, and Recall Report by Number.

2. The system displays the following page for input of the report criteria:

The screenshot shows a web form titled "Generate Termination Follow-up Report". The form contains the following elements:

- Header:** "Generate Termination Follow-up Report"
- Instruction:** "Enter information to create a termination follow-up report to summarize individuals that require a 33-109F1 and have the following suspended status:"
- Suspended Status Legend:**
 - Suspended (Pending Termination):** An individual shows on the report as SUSPT when they have reinstated with a new sponsoring firm, and the previous sponsoring firm is required to file form 33-109F1 - *Notice of Termination*.
 - Suspended (Employment Termination):** An individual shows on the report as SUSET when the sponsoring firm has filed items 1 through 4 of form 33-109F1 - *Notice of Termination*, but has not yet filed item 5 - *Details about the Termination*.
 - Suspended (Annual Fee):** An individual shows on the report as SUSAF when the firm has excluded the individual from the annual fee pull and is required to file form 33-109F1 - *Notice of Termination* or form 33-109F2 - *Change or Surrender of Individual Categories*.
- Termination State:** A dropdown menu currently set to "All".
- Regulators:** A multi-select dropdown menu for "Securities Regulatory Authority/Self-Regulatory Organization". It includes instructions: "To select one or more regulators, click on a regulator, hold the CTRL key to select more than one regulators. To remove a regulator, hold the CTRL key and click on the regulator." The list includes: "All", "Ontario Securities Commission", "Autorité des marchés financiers", "British Columbia Securities Commission", "Alberta Securities Commission", "Securities Division, Saskatchewan Financial Services Commission", "The Manitoba Securities Commission", "Nunavut Securities Registry", "Securities Commission of Newfoundland and Labrador", and "Nova Scotia Securities Commission".
- Report Format:** Radio buttons for "PDF" (selected), "Excel", and "Comma-separated Values (CSV)".
- Buttons:** "Generate Report" and "Reset".

3. You must use the following criteria to generate a report: Termination State, Securities Regulatory Authority/Self-Regulatory Organization and Report format.

You may choose to select one Termination State or All. You may choose to select one or more Securities Regulatory Authority/Self-Regulatory Organizations. If you wish to select more than one Securities Regulatory Authority/Self-Regulatory Organization, hold down the CTL key and click on the names presented in the drop-down list. If you do not select a name the drop-down list will default to All and generate a report for all Securities Regulatory Authority/Self-Regulatory Organizations in which your firm is registered.

When you have completed selection of your report criteria click **Generate Report**.

NRD Report

Time Run: 4:40:36PM
 Date Run: 11/11/2010
 Who Requested Report: Bank, Thomas
 Name of Report: Termination Follow-up Report

Regulator: Ontario Securities Commission
 Termination State: All
 Firm Legal Name: TRUST PRIVATE INVESTORS INC./SERVICES FINANCIERS TRUST INC.
 Firm NRD Number: 145

Principal	Firm	Firm Name	State	Regulator	Reviewer	Date	IND	Name
Ontario Securities Commission	145	TRUST PRIVATE INVESTORS INC./SERVICES FINANCIERS TRUST INC.	SUSPT	Ontario Securities Commission	Brown, Lori	2010-10-18	1234567	Smith, David
Ontario Securities Commission	140	TRUST PRIVATE INVESTORS INC./SERVICES FINANCIERS TRUST INC.	SUSAF	Ontario Securities Commission	Walter, Kevin	2010-10-18	7891231	Nanton, Gerry
Ontario Securities Commission	140	TRUST PRIVATE INVESTORS INC./SERVICES FINANCIERS TRUST INC.	SUSET	Ontario Securities Commission	Leblanc, Paula	2010-10-05	9871234	Bloom, Clare

SUSPT An Individual shows on the report as SUSPT when they have reinstated with a new sponsoring firm, and the previous sponsoring firm is required to file form 33-109F1 - Notice of Termination.
 SUSET An Individual shows on the report as SUSET when the sponsoring firm has filed items 1 through 4 of form 33-109F1 - Notice of Termination, but has not yet filed item 5 - Details about the Termination.
 SUSAF An Individual shows on the report as SUSAF when the firm has excluded the individual from the annual fee pull and is required to file form 33-109F1 - Notice of Termination or form 33-109F2 - Change or Surrender of Individual Categories.

Page 1 of 1

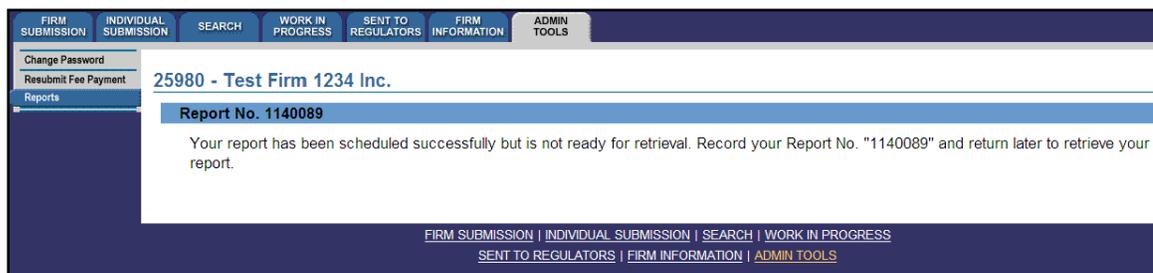
- Once you click **Generate Report**, the system will advise you of the progress of the report creation. When the report is ready, the system launches the report in the format you selected and a pop-up message appears. This report available in the formats common to all NRD reports (PDF, Excel or CSV).

Viewing PDF documents requires Adobe Acrobat Reader.

The screenshot shows a web application interface with a navigation menu on the left containing items like 'Set Up Users', 'Maintain Users', 'Change Password', 'Reset Password', 'Revoke Access', 'Resubmit Fee Payment', and 'Reports'. The main content area displays '25980 - Test Firm 1234 Inc.' and a 'Report Status' section with the message: 'Please wait while your report is being generated. Do not attempt to perform any actions until you receive your report. Once you have retrieved your report, you can continue using NRD by clicking on one of the menu items.' A 'File Download' dialog box is open in the foreground, asking 'Do you want to open or save this file?' for a file named '1143770.pdf' (Type: Adobe Acrobat 7.0 Document, 36.0KB) from '205.207.129.251'. The dialog has 'Open', 'Save', and 'Cancel' buttons. A warning message at the bottom of the dialog states: 'While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file.'

If you select “Save” you may store the report electronically on your own system and access it when convenient. If you select “Open” the system will launch Excel if you selected Excel or CSV formats or Acrobat Reader if you selected PDF format. You can now view and print the report. To save it on your own system, click “File” in the upper left corner of the new window and select “Save as”. You may rename and store the file as appropriate. You will notice that the system generates a report number that is included in the file name for the report.

5. If the system is busy you may receive a message with a report reference number. This number can be used at a later time to retrieve the report by selecting report option ‘Recall Report by Number’ and entering the recall number and pressing **Retrieve Report**.



TIP – If you generate the report in one language, that specific report is not viewable in the other official language, even if you log in to the other language version of the site to retrieve it. To view the same criteria in both French and English, you must generate a report from each language version of the site, i.e. log in to the French version of the site to generate a report with French headings.

NOTE - NRD reports are generated based on your firm and individual registrant’s records as of 5 minutes prior to generating the report. Therefore, if your firm has had changes in the last 5 minutes the information will not be reflected on the report. Also note, larger reports will take more time to generate and be made available for you to review.