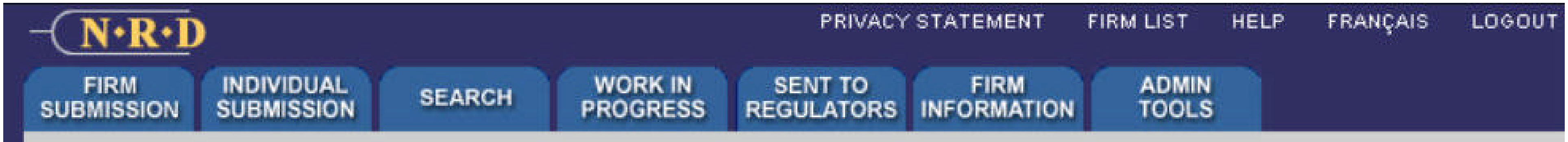
Quick-Reference Sheet – Working with Submissions



Who can make submissions on NRD?

- Any AFR in your firm who has an active user ID and password can make any NRD submission.
- Also, an AFR can create a temporary user ID and password for an individual to complete their own Initial Registration submission. The individual submits the Initial to the AFR, who in turn submits it to regulators.

Submissions you can make on NRD :

Firm submissions :

- Open a Location
- Location Address Information Change
- Close a Location
- Branch Manager Change
- Annual Fee Exclusion
- Location Status Change

Individual submissions :

Initial :

- Initial Registration
- Transfer of Registration
- Registration with an additional sponsoring firm
- Registration in an additional jurisdiction
- Reactivation of Registration
- Registration information for an individual included in the data transfer

Amendments :

- Change or surrender of individual categories
- Apply for an exemption

Notices :

- Termination
- Individual Name Change
- Residential Address Change
- Personal Information Change
- Citizenship Information Change
- Address and Agent for Service Change
- Proficiency Information Change
- Exemption Refusal Information Change
- Employment Location Change
- Current Employment Change
- Regulatory Disclosure Change
- Criminal Disclosure Change
- Civil Disclosure Change
- Financial Disclosure Change
- Related Securities Firms Change

Need more details?

The **NRD Filer Manual** has lots of information on submission processes, including step-by-step illustrated instructions for each submission type. See **Chapter 7** and the **Submission Illustrations**.

Need help?

Call the CDS Helpdesk at (800)219-5381 or email NRDadministrator@cds.ca

Quick Tips & Tools

Work in Progress (WIP) :

- Once you have created a submission, you can retrieve it from your **Work In Progress** tab. If you decide to delete a submission, you can do this through your WIP as well.
- If a submission has been re-assigned to you it will appear in your WIP. By the same token, you may re-assign your submissions from your WIP.
- And, if you set up an individual with a temporary user ID to complete an Initial online, WIP is where to find the submission once the individual has forwarded it to you.

Sent to Regulators :

- When you have completed a submission and sent it to regulators, it is moved from your WIP list to your Sent to Regulators list. Here it stays until it has been processed by regulators.
- This list displays among other information, the regulators to whom your submission has been sent.
- Open any submission in the list and click **Submission History** on the local navigator to track the processing of the submission. Submission History tracks the status of your submission in all relevant jurisdicitions, as well as the fee payment status.
- You can also retrieve submission history via the **Search** function.
- When a submission has been approved, the relevant data will appear in the permanent record of the registrant (firm or individual)

Close a Location :

When you close a location, the system checks to see if individuals are still registered as employed at that location. If there are, the system presents a list. You should prepare submssions for each individual as appropriate : Employment Location Change, Change or surrender registration categories, or Termination.

Annual Fee Exclusion :

If you have submitted an Annual Fee Exclusion (to exclude individuals from your firm's Annual Fee payment), you must complete one of the following submissions for each of the individuals, as appropriate with five business days from December 31:

- Notice of Termination
- Change or surrender of individual categories
- Transfer of Registration (this would be completed by the firm to which the individual is being transferred

Re-assign a submission :

- Use this function to send one of your submissions to another AFR in your firm. You may wish to do this if, for example, you will be on vacation for a time or if you need to redistribute your workload.
- You can also use this function to send a submission back to an individual whom you set up with a temporary user ID on NRD to complete an Initial Registration. If you require clarification or completion of some item, use the re-assign function to have the individual complete the Initial.
- Much like emailing, when you use the re-assign function, the submission is transferred in an instant from your Work in Progress to that of another AFR.