

FIRM SUBMISSION

Firm submissions:

- Open a location
- Location address information change
- Close a location
- Branch Manager change
- Annual fee exclusion
- Location status change

INDIVIDUAL SUBMISSION

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/surrender categories (including changes to officer titles)
- Apply for exemption

Notices:

- Termination
- Individual name
- Residential address
- Personal information
- Citizenship
- Address and Agent for service
- Proficiency information
- Exemption refusal
- Employment location
- Current employment
- Regulatory disclosure
- Criminal disclosure
- Civil disclosure
- Financial disclosure
- Related securities firms

SEARCH

Search your firm's:

- Individuals
- Individual submissions
- Firm submissions
- Business locations

WORK IN PROGRESS

Resume work on submissions you've already begun, or submissions that have been re-assigned to you by another AFR in your firm

SENT TO REGULATORS

View submissions that you have **sent to regulators** which have not yet been dispositioned. Track fee payment associated with such submissions.

FIRM INFORMATION

This **permanent record** includes your firm's current and historical:

- Name(s) and other business names
- Head office info
- Registration categories
- Terms and conditions
- Business locations
- Annual fee summary

ADMIN TOOLS

Chief AFR/AFR Admin:

- Set up users
- Maintain users
- Change your password
- Reset an AFR's password
- Revoke an AFR's access to NRD
- Resubmit fee payments
- Generate reports

AFR:

- Change password
- Resubmit fee payments
- Generate reports

