

National Registration Database (NRD) 101

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January 25, 2022

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Agenda:

Part 1: Overview of the National Registration Database (NRD)

Part 2: Common NRD Issues and Tips

Part 3: Fees Collected through NRD

Part 4: Commonly Generated Reports

Contact Information and Resources

Question and Answer Period

PART 1: OVERVIEW OF THE NRD

The screenshot displays the NRD website interface. On the left, there are two language selection buttons: "English" and "Français". In the center, the "N·R·DTM" logo is prominently displayed above the text "National Registration Database". Below this, the French version "B·D·N·I^{MC}" is shown above the text "Base de données nationale d'inscription". On the right side, there is a list of links:

- Intellectual Property
- Enrol for Authorized Entry
- Privacy Statement
- Propriété intellectuelle
- Inscription obligatoire
- Déclaration sur la confidentialité

PART 1: OVERVIEW OF THE NRD

What is NRD?

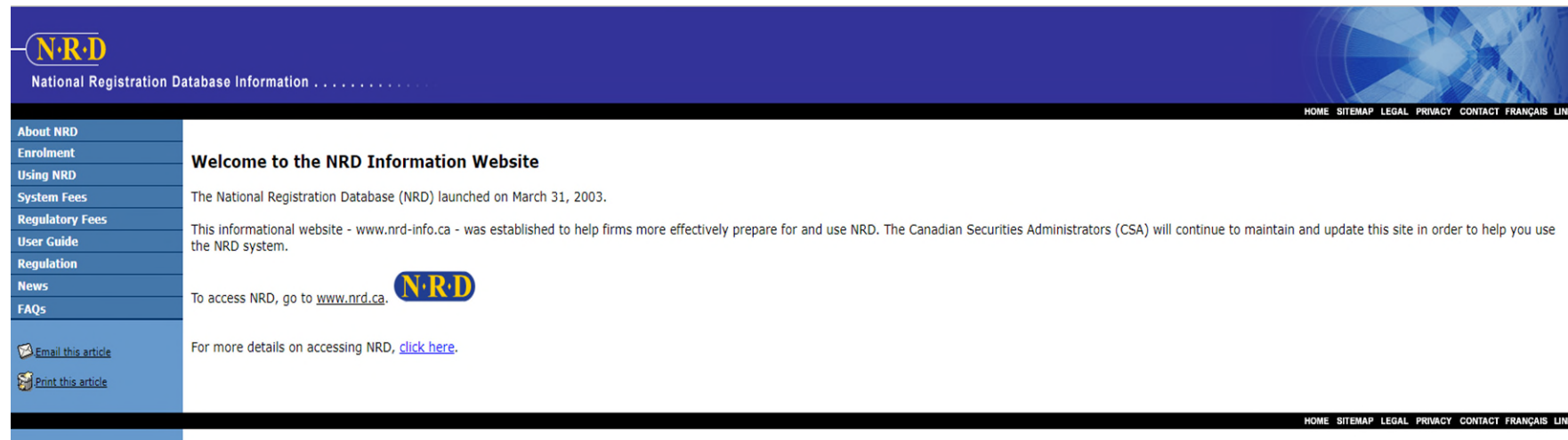
- electronic database containing information about firms and individuals registered under securities or commodities futures legislation in Canada, or under IIROC by-laws
- system used by applicants and registrants to electronically submit certain applications, notices and other registration information to regulators
- contains registration information with respect to all Canadian jurisdictions

NRD Website: www.nrd.ca

PART 1: OVERVIEW OF THE NRD

NRD Information Website: www.nrd-info.ca

established to help firms use NRD

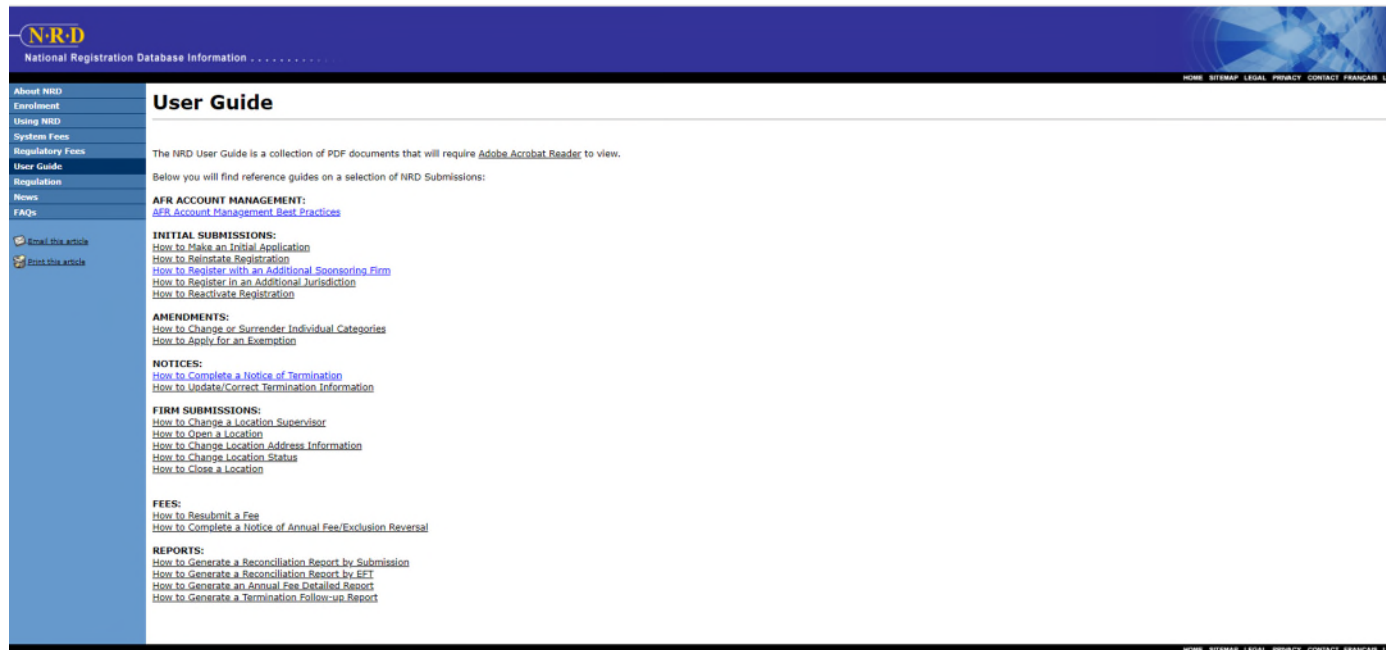


PART 1: OVERVIEW OF THE NRD

NRD Information Website: www.nrd-info.ca

➤ User Guide section

provides step-by-step instructions on how to file certain NRD submissions



PART 1: OVERVIEW OF THE NRD

Canadian Securities Administrators (CSA) National Registration Search:

<https://info.securities-administrators.ca/nrsmobile/nrssearch.aspx>

CHECK REGISTRATION!

A search tool showing:

- if a firm and/or individual is currently registered
- the jurisdictions where registered in Canada
- the registration categories
- if any terms and conditions have been imposed on the registration

Registration information in this database is taken from the NRD website and is refreshed on a daily basis.

PART 1: OVERVIEW OF THE NRD

Canadian Securities Administrators (CSA) National Registration Search

[CSA Home](#) [Français](#) [Registration Search](#) ▼

National Registration Search

Registration information was last refreshed on 2022-01-05 18:33 PST.

Search for

☒ Individual ☐ Firm

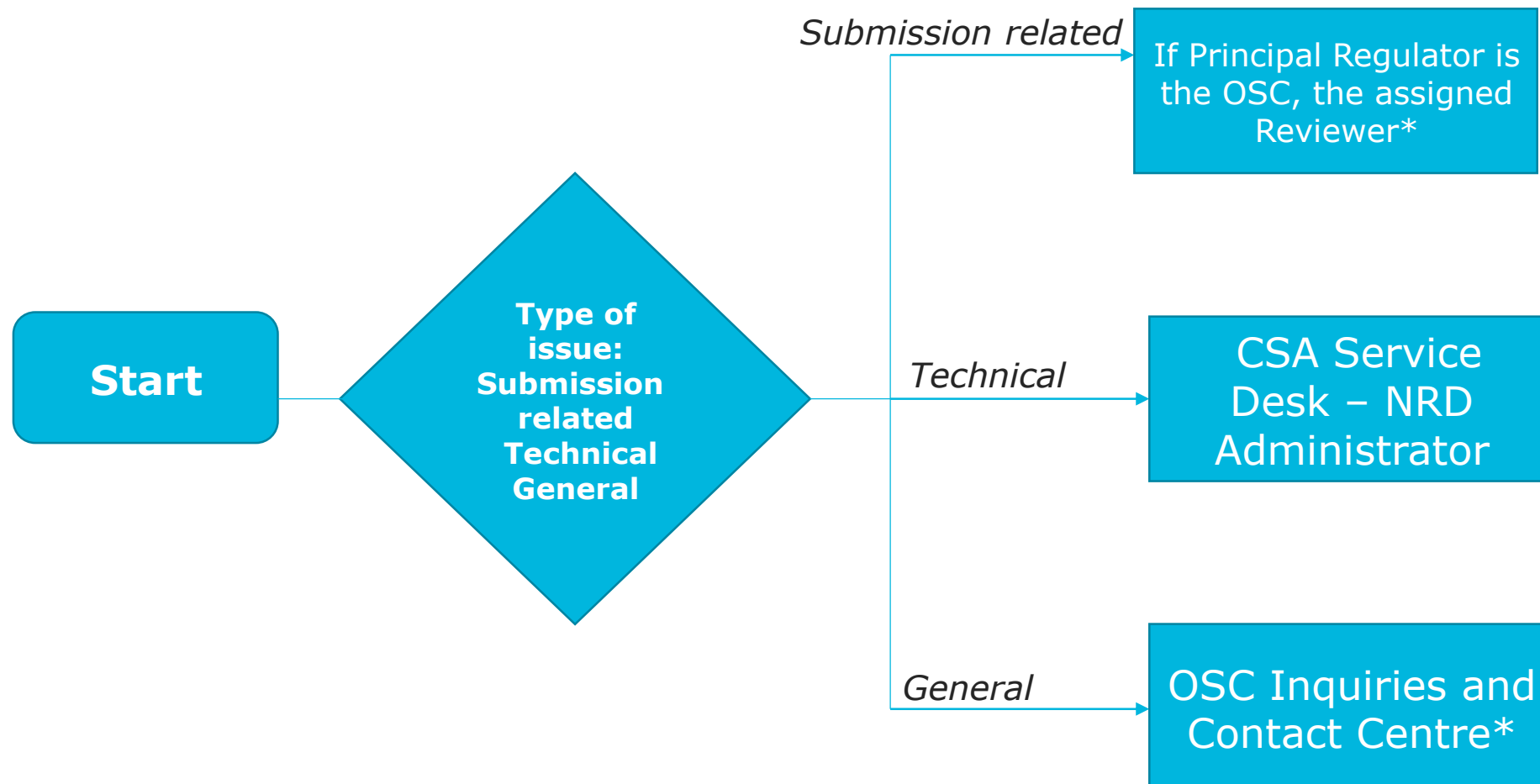
Enter individual name

☒ Show detailed search

Search

Reset

PART 1: OVERVIEW OF THE NRD



*You can find the name and contact information for the assigned Reviewer (or Registration Officer) of a particular submission under the "Sent to Regulators" tab on NRD. To contact the CSA Service Desk and the OSC Inquiries and Contact Centre, refer to slide #72 of this presentation.

PART 1: OVERVIEW OF THE NRD

Authorized Firm Representative (AFR)

Four types:

1. Chief Authorized Firm Representative (Chief AFR or CAFR)
2. Authorized Firm Representative Administrator (AFR Administrator or AAFR)
3. Authorized Firm Representative (AFR)
4. Individual Applicant

PART 1: OVERVIEW OF THE NRD

NRD Numbers

unique numbers generated by NRD to identify a firm, individual or a business location

- Firm NRD Numbers – end in a "0".
- Individual NRD Numbers – end in a "1".
- NRD Numbers for Business Locations (e.g. head office, branch locations) and Addresses for Service – end in a "2".
- NRD Submission Numbers – NRD system assigns this number when submission is created.

PART 1: OVERVIEW OF THE NRD

Registration information / applications submitted to regulators using NRD

Related to an individual:

- Applications for registration (initial, reactivation, reinstatement, etc.)
- Exemption from proficiency or experience requirements applicable to registered individuals (*You may use NRD for this application only if the individual in question is associated with your firm on NRD.*)
- Notice of any changes to an individual's information
- Notice of termination of an individual's employment
- Surrender or change of individual categories
- Notice to exclude individuals from the annual fee calculation

Related to a firm:

- Information regarding a firm's locations (other than head office): changing information pertaining to the firm's Branch and Sub-branch locations by filing Form 33-109F3
- Annual Fee Exclusion / Reversal

PART 1: OVERVIEW OF THE NRD

Registration information / applications NOT submitted to regulators using NRD

Related to an individual:

- Any supporting documents required to accompany an individual's application for registration (e.g. financial disclosure)

Related to a firm:

- An application for registration as a dealer, adviser, investment fund manager and/or underwriter on Form 33-109F6 (registration categories under the *Securities Act* (Ontario) or on Form 33-506F6 (registration categories under the *Commodity Futures Act* (Ontario) and all supporting documents in connection with such an application
- Notice of any change(s) to a firm's registration information contained on Form 33-109F6 by filing a Form 33-109F5 Change in Registration Information which includes a firm's head office information
- Application to voluntarily surrender a firm's registration
- Notice of amalgamation or merger of a firm with another firm
- An application for membership with the IIROC or the MFDA
- NRS Form 31-101F1 – Election to use the NRS and Determination of Principal Regulator
- NRS Form 31-101F2 – Notice of Change

PART 1: OVERVIEW OF THE NRD

If not filed via NRD, then how is it filed?

Information or applications not filed via NRD must be filed with the regulator by using a completed form (e.g. Form 33-109F6 or Form 33-109F5) which is uploaded electronically in PDF format via the [OSC electronic filing portal](#) (if the OSC is the firm's principal regulator).

OSC website: www.osc.ca/en/filing-documents-online

Reference: **OSC Rule 11-501 - *Electronic Delivery of Documents to the Ontario Securities Commission***

As of February 19, 2014, certain documents identified under Ontario's securities rules must be filed electronically through the OSC's web filing portal.

PART 1: OVERVIEW OF THE NRD

Navigating the NRD Website

The screenshot displays the NRD website's navigation structure. At the top, a dark blue header contains seven buttons: 'FIRM SUBMISSION', 'INDIVIDUAL SUBMISSION', 'SEARCH', 'WORK IN PROGRESS', 'SENT TO REGULATORS', 'FIRM INFORMATION', and 'ADMIN TOOLS'. Below this header, a white section titled 'FIRM NRD # - FIRM NAME' is visible. Underneath, a 'Task Menu' section lists seven links: 'Firm Submission', 'Individual Submission', 'Search', 'Work In Progress', 'Sent To Regulators', 'Firm Information', and 'Admin Tools'. At the bottom, a dark blue footer contains a horizontal list of the same seven navigation options, each preceded by a vertical bar.

FIRM SUBMISSION **INDIVIDUAL SUBMISSION** **SEARCH** **WORK IN PROGRESS** **SENT TO REGULATORS** **FIRM INFORMATION** **ADMIN TOOLS**

FIRM NRD # - FIRM NAME

Task Menu

- [Firm Submission](#)
- [Individual Submission](#)
- [Search](#)
- [Work In Progress](#)
- [Sent To Regulators](#)
- [Firm Information](#)
- [Admin Tools](#)

[FIRM SUBMISSION](#) | [INDIVIDUAL SUBMISSION](#) | [SEARCH](#) | [WORK IN PROGRESS](#)
[SENT TO REGULATORS](#) | [FIRM INFORMATION](#) | [ADMIN TOOLS](#)

PART 1: OVERVIEW OF THE NRD



Firm Submission

- firms can submit items related to locations or the annual fee exclusion
- categories must be set up **first** in order to submit these items, otherwise you'll receive an error message:

"The jurisdictions of registration for the firm are not yet available. Contact the securities regulatory authority or self-regulatory organization for assistance."

Select a Notice 33-109F3

[Open a Location](#)

[Location Address Information Change](#)

[Close a Location](#)

[Location Supervisor Change](#)

[Location Status Change](#)

Annual Fee

[Annual Fee Exclusion / Reversal](#)

PART 1: OVERVIEW OF THE NRD



Individual Submission

- Initial, Amendments, and Notices
 - Initial: Refers to an individual's initial registration, but also reinstatement, reactivation.
 - Amendments: An AFR can change or remove categories for an individual (Form 33-109F2), or apply for exemption
 - Notices: An AFR can file 'Notice of Termination' (Form 33-109F1) or make changes to an individual's Items 1 - 17 via Form 33-109F5

Task Menu

Initial

Amendment

Notice

PART 1: OVERVIEW OF THE NRD



Search

- can search for any registrant, submission, or location related to the firm
- applications for individuals must be submitted/approved before you can view them on NRD

Task Menu

[Individual](#)

[Firm Submission](#)

[Individual Submission](#)

[Location](#)



Work in Progress (WIP)

- You can view any submissions you're currently working on

PART 1: OVERVIEW OF THE NRD



Sent to Regulators

- Any submissions that the AFR has submitted to the regulator will appear here. **If you don't see your submission here, please double check your WIP** (see previous slides)



Firm Information

- You can view all of the documented information inputted by the regulators (from Form 33-109F6) in the firm's NRD profile which other regulators can also view

PART 1: OVERVIEW OF THE NRD



Admin Tools

- Options here will depend on your role (see AFR types - slide 10)
 - As AFR
 - You can change your password, resubmit fee payments, or generate reports (more on that later)
 - As AAFR or AFR Administrator
 - Same as above, but you can also revoke access, reset passwords for individuals, set up individuals, and change other AFRs data (email addresses, phone numbers, etc.)
 - As CAFR or Chief AFR
 - Same as above

PART 2: COMMON NRD ISSUES & TIPS



PART 2: COMMON NRD ISSUES & TIPS



PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

10

AFRs should not leave outstanding submissions in their "work-in-progress tab" for a prolonged period of time

- submissions should eventually be filed via NRD for the review by regulators or should be deleted
- outstanding submissions sitting in an AFR's work-in-progress tab may cause issues for individual applicants when they re-apply for registration with another sponsoring firm

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

9

Permanent record – Form 33-109F4

An individual's permanent record will not be updated with information filed in a particular notice until the actual submission has been approved by the regulators.

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

8

Incomplete or inaccurate responses in Form 33-109F4

Incomplete / inaccurate responses to questions in Form 33-109F4 will be marked "deficient" by regulators, which could lead to delays in the review process or could result in regulatory action being taken

Reference: **CSA Staff Notice 33-320 – *The Requirement for True and Complete Applications for Registration***

See "Guidance for Completing Applications":

1. Read the application form carefully.
2. Complete the application form truthfully and with candour.

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

8

Examples:

Regulators have often noted incomplete or non-disclosure of required information under:

- **Item 13 – Regulatory Disclosure**
- **Item 14 – Criminal Disclosure** (note: the questions asked apply to offences committed in any jurisdiction of Canada and any foreign jurisdiction)
- **Item 16 – Financial Disclosure** (questions related to bankruptcy, insolvency or any similar proceeding)

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

8

More examples: Questions 3. and 5. (Schedule G) under Item 10 - Current Employment, other business activities, officer positions held and directorships

3. Description of duties

Describe all employment and business activities related to this employer. Include the nature of the business and your duties, title or relationship with the business. If you are seeking registration that requires specific experience, include details with this firm such as level of responsibility, value of accounts under direct supervision, number of years of experience, and percentage of time spent on each activity.

5. Conflicts of interest

If you have more than one employer or are engaged in business related activities:

- A. Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.
- B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.
- C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.
- D. State the name of the person at your sponsoring firm who has reviewed and approved your multiple employment or business related activities or proposed business related activities.
- E. If you do not perceive any conflicts of interest arising from this employment, explain why.

Question 4. (Schedule F) under Item 8 - Proficiency

Item 8 - Proficiency

4. Relevant securities industry experience

If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36-month period?

☐ Yes ☐ No ☐ N/A

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

7 Why can't I submit this application via NRD?

Here are some common error or warning messages you may encounter on NRD:

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

7

a. If the employment activity is with an individual's sponsoring firm (and not an outside business activity), remember to check off the check box in Item 10 (Current Employment, other business activities, officer positions held and directorships)

☐ Check here if this activity is employment with your sponsoring firm. If the activity is with your sponsoring firm, you are not required to indicate the firm name and address information below. If you have selected the check box above, the legal name and business address of the sponsoring firm will be automatically populated upon clicking 'Save & Continue'.

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

7

b. Under Item 8 – Proficiency, regulators often note in their review the information specified is inaccurate; please ensure the correct completion date for the appropriate course, examination or designation or the actual name of the course, examination or designation are indicated

Information for this item is incomplete. Click on the Add Another button to complete information for this item or click on Continue to proceed to the next item. Alternatively, use the links on the left side of the screen to go to the section you want to edit.

Item 8 - Proficiency

1. Course, examination or designation information and other education

Click on a course, examination or designation to edit the information

Add Another

Continue >>

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

7

c. If CFA Charter or CIM designation are listed under Item 8 - Proficiency, there is an additional question regarding whether the individual is a current member permitted to use this designation

"If you have listed the CFA Charter in Item 8.1, please indicate by checking "Yes" below if you are a current member of the CFA Institute permitted to use this charter." is a mandatory field. You must complete this field before you can proceed.

Item 8 - Proficiency

Schedule E

1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

☐ Check here if you are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course, examination or designation requirements.

Course, examination, designation or other education:

If 'Other' is selected above, specify:

Date Completed: / / (YYYY/MM/DD)

Exempt: ☐

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

If you have listed the CFA Charter in Item 8.1, please indicate by checking "Yes" below if you are a current member of the CFA Institute permitted to use this charter.

☐ Yes ☐ No

If "No", please explain why you no longer hold this designation:

Add Another

Save & Continue >>

Reset

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

7

d. Page-by-page completeness check: please ensure checkmarks are received for all items (Items 1 to 17 on a Form 33-109F4)

FIRM SUBMISSION	INDIVIDUAL SUBMISSION
INITIAL	416
<input checked="" type="checkbox"/> Instructions	It
Name	
Residential Address	
Personal Information	
Citizenship	
<input checked="" type="checkbox"/> Registration Jurisdictions	
<input checked="" type="checkbox"/> Registration Categories	
Address for Service	
<input checked="" type="checkbox"/> Proficiency	
Location of Employment	
Current Employment	
Previous Employment	
Resignations and Terminations	
Regulatory Disclosure	
Criminal Disclosure	
Civil Disclosure	
Financial Disclosure	
Ownership of Securities and Derivatives Firms	
Print Submission	
Re-Assign Submission	
Complete Submission	

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

6

Reminder to AFRs to remove the information under Officer's title in a Permitted Individual – Officer category when a Form 33-109F2 – Change and/or Surrender of Categories is filed

Removing categories

What categories are you seeking to remove?

Permitted Individuals

☐ Officer

Adding categories

What categories are you seeking to add?

Permitted individual means

(a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or a functional equivalent of any of those positions, or

(b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm; or

(c) a trustee, executor, administrator, or other personal or legal representative, that has direct or indirect control or direction over 10 percent or more of the voting securities of a firm;

Permitted Individuals

☐ Director

☐ Partner

☐ Shareholder

☐ Permitted Individual as described in paragraph (c) of the definition of "permitted individual" in section 1.1 of National Instrument 33-109 Registration Information

Ultimate Designated Person

☐ Ultimate Designated Person

Mutual Fund Dealer

☐ Dealing Representative

☐ Chief Compliance Officer

☐ Branch Manager (MFDA members only)

Investment Fund Manager

☐ Chief Compliance Officer

If 'Officer' is selected above, indicate the title:

If 'Other' is selected above, specify:

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

5

AFRs often provide an incorrect response to the question stated under Item 5 – Registration Jurisdictions

Item 5 Registration jurisdictions

1. Are you filing this form under the passport system / interface for registration?

Only choose “no” if:

- (a) you are seeking registration only in your principal jurisdiction,
- (b) you are seeking review as a permitted individual only in your principal jurisdiction

and you are not currently registered under securities legislation in any jurisdiction of Canada,

Yes ☐ No ☐

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

5

AFRs often provide an incorrect response to the question stated under Item 5 – Registration Jurisdictions

- AFRs should clearly determine which submissions should be filed via Passport / Interface and which should not be filed via Passport / Interface by reviewing the question carefully
- Tip: For most submissions filed via NRD when the firm is registered in more than one jurisdiction, the response to this question is YES. However, the review of individual applications where the individual is only seeking "Permitted Individual" status is not reviewed via Passport
- Regulators often return these submissions to the AFR for correction in order that the submission can be reviewed properly; however, sometimes there are exceptions

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

4 Avoid being charged a fee (or an additional fee)!

- The effective date should typically be the date the submission is made to avoid late fees
- When a submission is re-filed for review, select "*Is this related to a deficient submission?*" to avoid being charged an additional fee (in some circumstances, the OSC will consider issuing a refund)

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

3

Reinstatement versus a Reactivation? What is the difference?

Reinstatement of Registration (Form 33-109F7) **NOTE: this is not an automatic approval!**

An individual must meet ALL of these criteria to be eligible to file a reinstatement of registration application:

- Form 33-109F7 is submitted via NRD on or before the 90th day after the cessation date from a previous sponsoring firm
- No issues with individual's termination from previous sponsoring firm such as an allegation of criminal activity, breach of securities legislation or a breach of a rule of an SRO
- No changes to Items 13 – 16 [except for 13.3(a)] of individual's Form 33-109F4 after the cessation date from a previous sponsoring firm
- Individual is seeking reinstatement in one or more of the SAME registration categories in which previously registered
- Individual's new sponsoring firm is registered in the same categories of registration as individual's former sponsoring firm

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

3

Reinstatement versus a Reactivation? What is the difference?

Reinstatement of Registration (Form 33-109F7)

Note: The eligibility for an individual to use the Reinstatement of Registration application (Form 33-109F7) will be changing under the proposed amendments to NI 33-109 (subject to ministerial approval, these amendments will come into force on June 6, 2022).

Refer to: [Annex C – Frequently Asked Questions on Updating Registration Information on NRD in the Amendments to NI 33-109 and Related Instruments – Modernizing Registration Information Requirements and Clarifying Outside Activity Reporting & Updating Filing Deadlines](#) published on the OSC website on December 16, 2021

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

3

Interesting tidbit:

The approval date of certain individual submissions such as Reinstatement of Registration (Form 33-109F7) and Registration in an Additional Jurisdiction (Form 33-109F4) will typically be "back-dated" to the date that the submission had originally been filed via NRD for review by the regulators.

However, for individual submissions such as Initial Registration and Reactivation of Registration (Form 33-109F4), the approval date is the actual date that the regulators approve the individual submission.

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

3

Reinstatement versus a Reactivation? What is the difference?

Reactivation of Registration (Form 33-109F4)

If it is not considered an Initial Registration application (the individual has an existing NRD number assigned) or the individual is not eligible to file a Reinstatement of Registration (Form 33-109F7), a Reactivation of Registration application must be filed via NRD.

A Reactivation of Registration is similar to an Initial Registration application; however, an individual's pre-existing information is already on NRD (this information must be updated).

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

2

If you want to receive a checkmark for these items, then no gaps please!

In an Initial Registration or a Reactivation of Registration application (Form 33-109F4), under **Item 2 (Residential Address)** and **Item 11 (Previous Employment)**, an individual applicant is required to disclose information for the past 10 years from the date the application was filed via NRD *without any GAPS*.

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

1

Another Individual – Same Name and Date of Birth?

The screenshot shows the NRD web application interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION (which is highlighted), SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

The main content area displays the title "48800 - ABC Company" followed by a red warning message: "There is an Individual on the system with the same name and date of birth as the applicant." Below the warning is a section titled "Create Individual" with a sub-section "Individual Information".

The "Individual Information" section contains the following fields:

- Last Name: Smith
- First Name: Jane
- Second Name: (if applicable)
- Third Name: (if applicable)
- Date of Birth: 1988 / 12 / 25 (YYYY/MM/DD)

At the bottom of the form are two buttons: "Save & Continue >>" and "Reset".

PART 2: COMMON NRD ISSUES & TIPS

Top 10 Common Issues Experienced by Users on NRD (including the tips to resolve or avoid these issues)

1

Another Individual – Same Name and Date of Birth?

- An individual should only have one NRD number assigned to them.
- The individual may already have a NRD number. Or the individual may have an inactive NRD number if an application had been previously filed via NRD but was not approved by the regulators.
- Contact OSC Inquiries (see slide 72) to confirm if the individual has an existing active NRD number

PART 2: COMMON NRD ISSUES & TIPS

Other Notable NRD Issues & Tips (which didn't make our Top 10 list...)

Password Issues

Chief AFR:

- **Only CSA Service Desk - NRD Administrator can reset password**
- Chief AFR must know PIN
- If Chief AFR has lost/forgotten PIN – contact CSA Service Desk

Other AFRs:

- Chief AFR/AFR administrator can reset password

Individual Applicants:

- Individual user ID/password must be disabled in order to reset

Need help?

If you cannot find your password, user ID or PIN, or if you are having difficulty logging in to NRD, please seek assistance from the appropriate party listed below.

Your role	Who to contact for assistance
Chief AFR	The CSA Service Desk at 1-800-219-5381
AFR Administrator	The Chief AFR for your firm
AFR	Either the Chief AFR or an AFR Administrator for your firm
Individual registrant completing an initial application for registration on Form 33-109F4	The AFR who provided you with your user ID and password for accessing NRD

PART 2: COMMON NRD ISSUES & TIPS

Banking Information

- Managed by the CSA Service Desk
- Please forward your requests to add or remove banking information to your PR who will forward it to the CSA Service Desk
- NOTE: Adding bank accounts only applies to registered firms who have submitted Forms 1, 2, and 3 + the \$500 enrolment fee as part of the firm enrolment process

PART 2: COMMON NRD ISSUES & TIPS

Finding and Tracking Submissions

- Common occurrence where the firm can't complete a submission for an individual because of an open submission:
 - Check Work in Progress (WIP) tab
 - Confirm with individual whether or not they've been involved with other submissions which had been initiated by another sponsoring firm
 - CAFR/AFR Administrator may need to re-assign
- Other areas the submission may have gone to:
 - Sent to Regulators
 - No longer showing in your WIP
 - Returned to Firm
 - Returned to AFRs WIP to correct deficiencies

PART 2: COMMON NRD ISSUES & TIPS

Updating a Location

Item 9 Location of employment

Permitted individual not employed by, or acting as agent for, the sponsoring firm

NRD Location Number

Type of business location:

Supervisor or Branch Manager:

Address Line 1:

Address Line 2: (if applicable)

City:

Province/Territory/State:

Postal/ZIP Code:

Country:

Telephone Number:

Fax No.:

Business e-mail address:

N/A ☒

Continue >>

Cancel

Item 9 Location of employment

1. Provide the following information for your new sponsoring firm. If you will be working out of more than one business location, provide the following information for the business location out of which you will be doing most of your business.
2. If the firm has a foreign head office, and/or you are not a resident of Canada, provide the address for the business location in which you will be conducting most of your business.

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

NRD Business Location
Number:

OR

Address Contains:

City:

Province/Territory/State:

Type of Business Location:

NRD No. of Supervisor:

OR

If you are filling this form because you are a permitted individual and you are not employed by, or acting as agent for, the sponsoring firm, select "N/A".

N/A ☐

Tip: If N/A has been selected, click on "Save & Continue".

Search

Save & Continue >>

Reset

PART 2: COMMON NRD ISSUES & TIPS

Datazaps

- What is a "datazap"?
 - A correction/edit that is done by CGI Information Systems and Management Consultants Inc. (CGI) *after* a submission has been approved, which comes at a cost
- Mistakes happen during the submission process – we encourage filers to carefully review where possible (**especially dates**)
 - In the event a date is incorrectly listed, there are two options:
 - A datazap: CGI corrects the date; may take some time given CGI's other priorities and it is costly
 - A regulatory note: If the date is inconsequential, the Regulators may be able to apply a regulatory note on NRD explaining the correct date

PART 2: COMMON NRD ISSUES & TIPS

Temporary hardship exemption filings

An exemption is available when one experiences unanticipated technical difficulties which prevent an AFR from making a submission via NRD within the time required.

The process is outlined in section 5.1 of NI 31-102 *National Registration Database*

PART 3: FEES COLLECTED THROUGH NRD



PART 3: FEES COLLECTED THROUGH NRD

Types of Fees

- There are several types of fees that are collected to cover the cost of operating and enhancing NRD
- All system fees are calculated and collected by the NRD system via Electronic Funds Transfer (EFT).
- Types of fees:
 - NRD Submission Fee
 - Annual NRD System Fee
 - Participation Fees (OSC-specific) - refer to OSC Rule 13-502 *Fees* and OSC Rule 13-503 *(Commodity Futures Act) Fees*

PART 3: FEES COLLECTED THROUGH NRD

NRD Submission Fee

- The NRD system fee is payable upon occurrence of any of the following:
 - Initial Registration;
 - Registration in an Additional Jurisdiction; and
 - Reactivation of Registration.
- The amount of the system fees is as follows:
 - \$75 for each Form 33-109F4 submitted for each individual applying for registration or review as a permitted individual in the principal jurisdiction, and
 - \$20.50 for each Form 33-109F4 submitted for each individual applying for registration or review as a permitted individual in each additional jurisdiction. (This fee was previously \$50 in each additional jurisdiction up to a maximum of 5.)

PART 3: FEES COLLECTED THROUGH NRD

Annual NRD System Fee

The amount of the annual NRD user fee is as follows:

- \$75 for each registrant or permitted individual in the principal jurisdiction
- \$20.50 for each registrant or permitted individual in each additional jurisdiction (This fee was previously \$50 in each additional jurisdiction up to a maximum of 5.)
- For a registrant or permitted individual applying for registration / review in all 13 participating jurisdictions, the annual NRD system fee is capped at \$321 (i.e. \$75 + \$20.5x12)
- Annual NRD system fees are due on December 31 of each year as a payment for the following year.

PART 3: FEES COLLECTED THROUGH NRD

Regulatory Fees / Participation Fees

All registered firms, unregistered investment fund managers and unregistered exempt international firms (such as international dealers and international advisers) are required to pay regulatory fees. Each regulator will charge fees based on their rules, legislation or fee schedule (refer to the "Regulatory Fees" section on the NRD Information website – slide 5).

In Ontario, the fee collected on an annual basis is referred to as a participation fee which is calculated in accordance with our fee rules:

OSC Rule 13-502 Fees and OSC Rule 13-503 (Commodity Futures Act) Fees

<https://www.osc.ca/en/industry/registration-and-compliance/registration-forms-and-documents/fees/participation-fees>

PART 3: FEES COLLECTED THROUGH NRD

Regulatory Fees / Participation Fees: Resubmit Fee Payment

The screenshot displays the NRD web application interface. At the top, the NRD logo is on the left, and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT are on the right. Below the header is a navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The ADMIN TOOLS button is highlighted. On the left side, under the ADMIN TOOLS menu, there is a list of options: Set Up Users, Maintain Users, Change Password, Reset Password, Revoke Access, Resubmit Fee Payment (which is highlighted), and Reports. The main content area shows the title '48800 - ABC Company' followed by the heading 'Resubmit Fee Payment'. Below this heading are two radio button options: 'Correct default EFT payment' and 'Resubmit funds related to a submission, annual fee payment or firm registration'. At the bottom of the form are two buttons: 'Continue >>' and 'Reset'.

PART 3: FEES COLLECTED THROUGH NRD

Regulatory Fees / Participation Fees: Resubmit Fee Payment

- **Correct Default EFT Payment**
 - Use to resubmit fees that were rejected/returned (e.g. NSF)
 - Will accumulate all rejected/returned fees until paid
 - Will resubmit all rejected/returned fees to parties originally specified
- **Resubmit funds related to a submission**
 - Use to submit fees where NRD does not automatically pull fees, e.g. exemption applications or late fees
 - Must specify each jurisdiction and amount

PART 3: FEES COLLECTED THROUGH NRD

Regulatory Fees / Participation Fees: Resubmit Fee Payment

N.R.D. PRIVACY STATEMENT HELP FRANÇAIS LOGOUT

FIRM SUBMISSION INDIVIDUAL SUBMISSION SEARCH WORK IN PROGRESS SENT TO REGULATORS FIRM INFORMATION ADMIN TOOLS

Set Up Users
Maintain Users
Change Password
Reset Password
Revoke Access
Resubmit Fee Payment
Reports

48800 - ABC Company

Resubmit Fee Payment

Payment Details

Submission No.: 2014000001

Fee Recipient: Securities Regulatory Authorities

Submission Fee Amount: 75.00

Reason for Payment: NRD System Fees

Continue >>

- Ontario Securities Commission
- Autorité des marchés financiers
- British Columbia Securities Commission
- Alberta Securities Commission
- Financial and Consumer Affairs Authority, Saskatchewan
- The Manitoba Securities Commission
- Superintendent of Securities, Nunavut
- Securities Commission of Newfoundland and Labrador
- Nova Scotia Securities Commission
- Prince Edward Island Securities Registry
- Superintendent of Securities, Yukon
- Superintendent of Securities, Northwest Territories
- Financial and Consumer Services Commission (New Brunswick)
- IROC - Prairie (Alberta)
- IROC - Pacific (British Columbia)
- IROC - Prairie (Manitoba)
- IROC - Head Office (New Brunswick)
- IROC - Head Office (Newfoundland and Labrador)
- IROC - Prairie (Northwest Territories)
- IROC - Head Office (Nova Scotia)
- IROC - Prairie (Nunavut)
- IROC - Head Office (Ontario)
- IROC - Head Office (Prince Edward Island)
- IROC - Quebec (Quebec)
- IROC - Prairie (Saskatchewan)
- IROC - Pacific (Yukon)
- Securities Regulatory Authorities

PART 3: FEES COLLECTED THROUGH NRD

Regulatory Fees / Participation Fees: Annual Fee Exclusion

- Ensures firm not charged annual fees for individuals surrendering/terminating by December 31st
- One submission for multiple individuals per jurisdiction
- Can be reversed
- Must be filed by 3:00 pm Dec 31st / **the Notice of Termination must be filed within 10 days of actual termination date**
- More Info: https://www.nrd-info.ca/nrdmanual/nrd_exclusion-reversal_20101201_v-1-0_en.pdf

PART 4: COMMONLY GENERATED REPORTS



PART 4: COMMONLY GENERATED REPORTS

List of Reports Firms Can Run

- 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
- Generate 33-109F1 Report
- Generate Branch Listing Report
- Generate Report for Current Terms and Conditions for Individuals

PART 4: COMMONLY GENERATED REPORTS

Here are some screenshots of the common reports which AFRs generate on NRD:

1. Generate Reconciliation Report by EFT
2. List Registrants
3. Generate 33-109F1 Report

PART 4: COMMONLY GENERATED REPORTS

Generate Reconciliation Report by EFT

You have requested to generate a report containing more than 2 months of payment information. Restrict the From and To date range to 2 months.

Generate Reconciliation Report by EFT

Enter information in either the EFT Identifier box or the "From" and "To" boxes below to create a report showing transactions in a bank account for each electronic funds transfer.

EFT ID:

OR

EFT Process Date:

From: / / (YYYY/MM/DD)

To: / / (YYYY/MM/DD)

AND

EFT Status:

SRA/SRO:

Report Format:

- ☒ PDF
☐ Excel
☐ Comma-separated Values (CSV)

PART 4: COMMONLY GENERATED REPORTS

Generate Reconciliation Report by EFT

NRD Report

Time Run: 4:04:00pm
Date Run: 2021/12/07
Who Requested Report: CAFR, PENTEST
Name of Report: Reconciliation Report by EFT

EFT Process Date: From 2017-10-10 to 2017-11-10
EFT Status: All
Firm NRD No.: 73900
SRA/SRO: All

EFT				Firm				Submission									
EFT Identifier	Process Date	Post-Tax Amount	Payee	Status	Record Type	NRD No.	Name	No.	Type	Pre-Tax Amount	Date	Payment Type	Status	Status Date	Tax Name	Rate	Jurisdiction
Total		0.00															

PART 4: COMMONLY GENERATED REPORTS

List Registrants

Generate Individual Registrant Report

To request a report for all individual registrants within a firm, press 'Continue>>'. For individual registrants in a specific jurisdiction or location, please also select a "Jurisdiction" and/or enter an "Employment Location NRD No.". For permitted individuals that do not have an employment location, select "Employment Location is N/A".

Jurisdiction:

Ontario ▼

Employment Location NRD No.:

OR

☐ Employment Location is N/A

Continue >>

Reset

PART 4: COMMONLY GENERATED REPORTS

List Registrants

Generate Individual Registrant Report

Registration Status

☐ All
☐ Bulk Category Change
☐ Suspended (Employment Termination)
☐ Suspended (Surrender)
☐ Terminated (Regulatory Action)
☒ Active

Select one or more categories from the list or check:

Select Categories: ☐ All
Click on the Firm category checkbox to request all individual categories within the Firm category or check each individual category:

Ontario
Categories

☐ Permitted Individuals
☐ Officer
☐ Director

☐ Ultimate Designated Person
☐ Ultimate Designated Person

☐ Mutual Fund Dealer
☐ Salesperson
☐ Branch Manager
☐ Officer (Trading, Resident)
☐ Officer (Trading, Non-Resident)
☐ Officer (Non-Trading, Resident)
☐ Officer & Director (Non-Trading, Resident)
☐ Director
☐ Designated Compliance Officer

☐ Mutual Fund Dealer
☐ Dealing Representative
☐ Chief Compliance Officer
☐ Branch Manager (MFDA members only)

☐ Investment Fund Manager
☐ Chief Compliance Officer

Report Options ☒ List individuals that hold one or more of the categories selected
☐ List individuals that hold all categories selected

Report Format ☒ PDF
☐ Excel
☐ Comma-separated Values (CSV)

PART 4: COMMONLY GENERATED REPORTS

List Registrants

NRD Report

Time Run: 10:36:47 am

Date Run: 12/8/2021

Firm Legal Name:

Firm NRD Number:

Who Requested Report:

Name of Report: Individual Registrant Report

Individual Details						Registration Information				
NRD No.	Last name	First name	Second name	Employment Location NRD No.	UIN No.	Jurisdiction	Status	Firm Registration Category	Individual Registration Category	Officer Title
						Ontario	Active	Mutual Fund Dealer	Dealing Representative	
						Ontario	Active	Mutual Fund Dealer	Dealing Representative	

PART 4: COMMONLY GENERATED REPORTS

Generate 33-109F1 Report

Generate 33-109F1 Report

Enter the individual registrant's NRD No. to generate the most recent 33-109F1 submitted by your firm for the former registrant.

Individual NRD No.:

Generate Report

Reset

PART 4: COMMONLY GENERATED REPORTS

Generate 33-109F1 Report

FORM 33-109F1 NOTICE OF TERMINATION INFORMATION FOR AN INDIVIDUAL	
Who Requested Report:	Date/Time: 12/8/2021 10:58:14AM
Item 1 Terminating firm	
Name:	
NRD number:	
Item 2 Terminated individual	
Name:	
NRD number:	
Item 3 Business location of the terminated individual	
1. Business location address	
Address:	
City:	
Province/Territory:	
2. NRD location number	
Registration Categories	
Ontario	
Registration Categories	
Mutual Fund Dealer	
Branch Manager (MFDA members only)	
Dealing Representative	
Item 4 Date and reason for termination	
Cessation date / Effective date of termination:	2021/12/08
This is the last day that the individual had authority to act in a registrable capacity on behalf of the firm or the last day that the individual was a permitted individual.	
Reason for termination / cessation:	Dismissed in good standing
If "Other", explain:	

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".	
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?	No
2. Was the individual the subject of any investigation by any securities or financial industry regulator?	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?	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?	No
5. Does the individual have any undischarged financial obligations to clients of the firm?	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?	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.	No
8. Did the individual repeatedly or materially fail to follow compliance policies and procedures of the firm or any affiliate of the firm?	No
9. Did the individual engage in discretionary management of client accounts or otherwise engage in registrable activity without appropriate registration or without the firm's authorization?	No
Reasons/Details:	
Test	

PART 4: COMMONLY GENERATED REPORTS

Report Formats

- All reports (except for 33-109F1) provide you output options including: PDF, CSV, or XLS
- The 33-109F1 Report has a PDF-only output

PART 4: COMMONLY GENERATED REPORTS

Permanent Record Report

- Generate Permanent Record Report for an Individual Registrant
 - Firms can download the permanent record for their individual registrants
 - Must be done one by one
 - **There is no 'batch generation' option**

PART 4: COMMONLY GENERATED REPORTS

Recall Reports

- If a report takes too long to generate, you'll see a message like this:

Ontario Securities Commission

Report No.

Your report has been scheduled successfully but is not ready for retrieval. Record your Report No. and return later to retrieve your report.

- Using the Report Number provided by NRD, you can generate the report whenever it's ready (note: once the report is ready, it will come up in PDF format):

Ontario Securities Commission

Retrieve Report by Report No.

Enter your Report No. in the text box below to retrieve your report:

Report No.:

Retrieve Report

Reset

Contact Information and Resources

Contact Information

CSA Service Desk - NRD Administrator

- Phone: 1-800-219-5381
- Email: nrd@csa-acvm.ca

OSC Inquiries and Contact Centre

- Phone: 1-877-785-1555
- Email: inquiries@osc.gov.on.ca

Contact Information and Resources

Resources

- [CSA Staff Notice 33-320 *The Requirement for True and Complete Applications for Registration*](#)
- [OSC Rule 11-501 *Electronic Delivery of Documents to the Ontario Securities Commission*](#)
- [OSC Rule 13-502 *Fees*](#)
- [OSC Rule 13-503 *\(Commodity Futures Act\) Fees*](#)
- [National Instrument 31-102 *National Registration Database*](#)
- [National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations*](#)
- [National Instrument 33-109 *Registration Information*](#)
- [National Policy 11-204 *Process for Registration in Multiple Jurisdictions*](#)

Question and Answer Period



Thank you for attending today's webinar.