IIROC OCRCVM
Investment Industry Regulatory Organization of Canada
Organisme canadien de réglementation du commerce des valeurs mobilières

IIROC / NRD FAQ

A About NRD

A.1 What is NRD?

NRD is the National Registration Database used by firms to file registration forms electronically and by regulators to review those forms. In order to use NRD, firms must enroll through CDS Inc by completing three enrolment forms and paying the enrolment fees. For more information, visit the nrd-info website at www.nrd-info.ca or contact CDS at 1-800-219-5381.

A.2 What happens if the system goes down? How do I register?

IIROC Dealer Member Rule 40 and National Instrument 31-102 *National Registration Database* have a "temporary hardship" section, which details the procedure for making paper submissions if the system is temporarily not available. Refer to Section 11 of Rule 40 or Section 5.1 of National Instrument 31-102.

A.3 Can anyone access NRD and see an individual's registration information?

No, only the regulators and an individual's sponsoring firm has access to NRD and can see an individual's submissions and permanent record.

A.4 How can I get a copy of my NRD record?

You can request a copy of your NRD record from IIROC by completing the 'file copy request form' which can be accessed from our website at

http://www.iiroc.ca/English/ComplianceSurveillance/Registration/Documents/FileCopyRequestForm_en.pdf.

If you are currently registered, you may also contact the registration department of your firm to request a print out of your NRD record.

A.5 I was previously registered and require my NRD number. How do I get it?

IIROC can provide you with your NRD number if you were previously registered with an IIROC Dealer Member. It can be provided to you either by telephone or by email. If calling to request your number, you will be asked certain questions to verify your identity. All email requests should be sent to registration@iiroc.ca and should include your full legal name, date of birth and place of birth.

If you were not registered with an IIROC Dealer Member you must contact the applicable securities commission to obtain your NRD number.

A.6 Where can I find information on how to use NRD?

IIROC's NRD FAQ will provide information on technical issues but will not address every type of filing. For complete information on initial submissions, amendments, notices, firm submissions, fees and reports, visit www.nrd-info.ca and access the NRD modules, guides and FAQs.

B Authorized Firm Representatives (AFRs)

B.1 What is an authorized firm representative?

An Authorized Firm Representative, or AFR, is a person who is authorized by a firm to access information and make submissions to regulators using NRD regarding that firm and individuals associated with that firm.

Each firm must authorize one Chief AFR. Firms may also designate any number of Administrative AFRs and regular AFRs.

B.2 Must an AFR be an approved Executive of the firm?

No. NRD rules and National Instruments do not set out any specific requirements for AFRs. Firms should determine the appropriate staff to be set-up as AFRs, considering these individuals will act as agents of the NRD filer and approve the withdrawing of fees from the firm's NRD bank account.

B.3 Our Chief AFR can't remember her password. Can IIROC reset it for her?

No. NRD passwords for Chief AFRs are reset by CDS. The Chief AFR must contact CDS directly by phone (1-800-219-5381) or email at NRDWebmaster@cds.ca. CDS will require the Chief AFRs PIN to reset the password.

B.4 Can I share my AFR code with another person in our registration department?

Sharing AFR codes is not permitted. CDS INC., IIROC and all CSA members are very committed to increasing control over NRD system access and improving system security.

C Reporting Problems

C.1 Who do I contact if I have a problem or question about NRD?

CDS Inc. is responsible for matters involving: firm enrolment; Chief AFR password and PIN re-sets; and technical problems involving the system.

CDS will only accept calls from Authorized Firm Representatives. Individual applicants or registrants will be directed to call their firm for assistance.

All other questions, such as, how to complete submissions or what information should be disclosed must be directed to your firm or IIROC Registration staff.

C.2 How do I report a technical problem to CDS?

You should contact CDS by telephone (1-800-219-5381) or email NRDwebmaster@cds.ca and provide detailed information regarding the problem including:

1. **Your operating systems**
2. **Circumstances under which you experienced the problem**
3. **Relevant NRD numbers**
4. **Screen captures**

D Fees

D.1 How are submission fees paid through NRD?

Submission fees are calculated by the system and automatically withdrawn from a firm's bank account through an electronic fund transfer process.

D.2 How do I know how much the fees will be for a submission?

Once complete, each submission will display a fee summary page itemizing all applicable registration and user fees.

D.3 Our firm resubmitted fees for a submission however we were advised by IIROC Registration staff that the fees were not yet paid. How long will it take for the fees to go through?

The status of the fee on NRD will change to ‘paid’ once the money has been exchanged between the banks. This typically takes between 1 – 2 days.

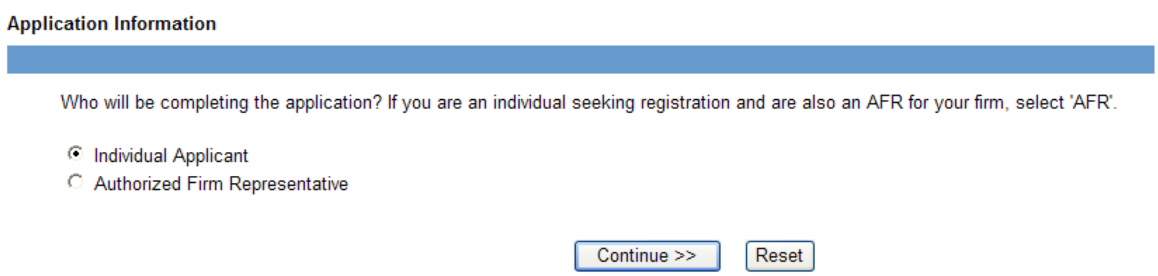
D.4 Are there annual fees and how are they paid?

Yes. Firms are responsible for annual registration fees and NRD user fees. These fees are collected automatically by NRD via Electronic Funds Transfer (EFT) on December 31st of each year as a payment for the following year for each registered firm and individual. Information pertaining to the user fees can be accessed at http://www.nrd-info.ca/fees/fees_index.jsp?lang=en#nrdusrfee.

E Submission Completion

Submission Creation

E.1 What happens if I indicate an individual applicant will be completing the application?



NRD will create a user ID and password for the applicant to log into NRD to complete their own submission.

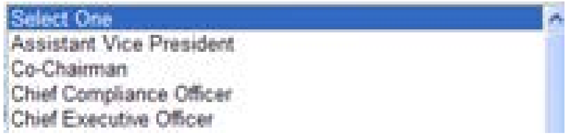
E.2 I created a submission, and in error, I indicated that the applicant would be completing the application. What should I do?

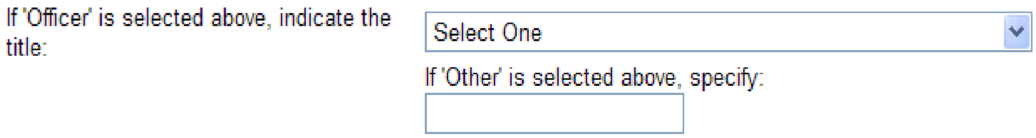
A Chief AFR or Administrative AFR can search for the submission and reassign it to you for completion.

Item 6 – Registration and Accepted Categories – Officer Titles

E.3 How do I remove an Officer Title for an individual that is no longer an Executive?

You must select the option ‘Select One’ from the officer title drop down list and remove a manually added officer title under the ‘Other’ field.


Select One
Assistant Vice President
Co-Chairman
Chief Compliance Officer
Chief Executive Officer

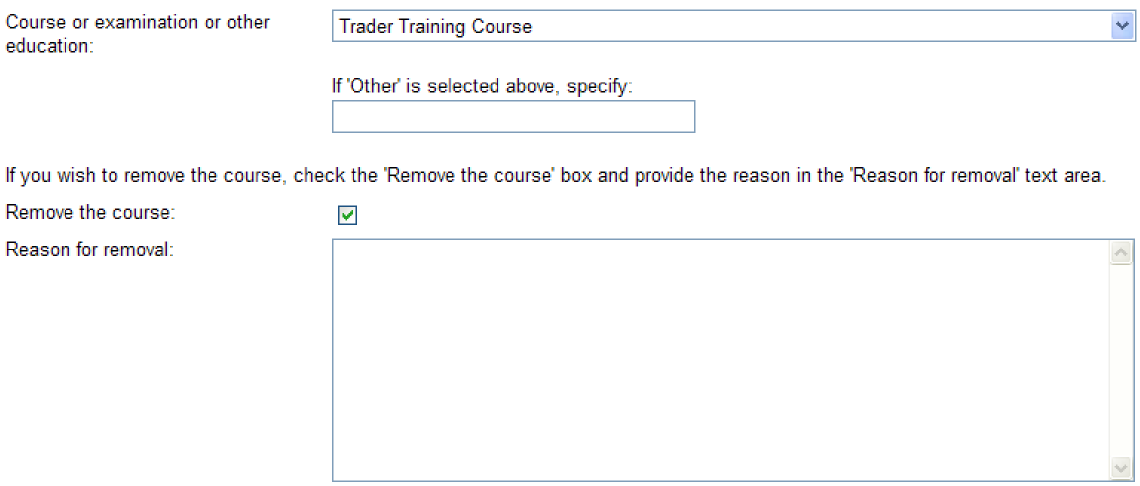

If 'Officer' is selected above, indicate the title: Select One

If 'Other' is selected above, specify:

Item 8 – Proficiency

E.4 How do I remove a course that was disclosed in error?

You must select to '*Remove the course*' and provide the reason for removal. The course will reflect as 'Removed' but will not be permanently deleted from the individual's permanent record


Course or examination or other education: Trader Training Course

If 'Other' is selected above, specify:

If you wish to remove the course, check the 'Remove the course' box and provide the reason in the 'Reason for removal' text area.

Remove the course: ☑

Reason for removal:

Item 10 - Current Employment

E.5 How does the sponsoring firm checkbox work under Item 10?

The sponsoring firm checkbox must be selected if the employment information pertains to the sponsoring firm filing the submission. Checking the box will automatically populate the name and head office information for the firm under the current employment entry.

Error Messages

E.6 What should I do if I receive the message “There is an Individual on the system with the same name and date of birth as the applicant” while creating an Initial Registration submission.

You should contact IIROC to ensure that the individual does not already have an NRD number. If you have confirmed that the individual has never been registered you may proceed with creating the submission.

E.7 What should I do if I receive the message “There is already a submission of this type in progress for the applicant.” while creating a submission.

You should search for the submission to determine whether the submission was created by another AFR of your firm. If the submission has not been created by an AFR at your firm, contact IIROC for assistance.

Individual Province Change

E.8 How do I file a location change for a registrant who is moving to a province in which they are not yet registered?

The following steps are required:

1. **Notify IIROC outside of NRD via email if the individual is moving to another province and surrendering categories in the current jurisdiction. The email notification should be sent to your firm’s Senior Registration Officer at IIROC and must identify the individual's new business location.**
2. **The following submissions must be filed:**

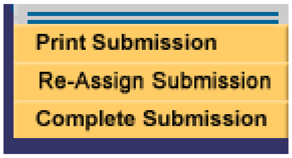
   I. **Registration in an additional jurisdiction**
   II. **Item 2 - Residential Address Change**
   III. **33-109F2 - Change or Surrender of Individual Categories. This submission can be filed to surrender registration only after the Registration in an additional jurisdiction submission is approved.**
   IV. **Item 9 - Employment Location Change. This submission can be filed only after the additional jurisdiction submission is approved.**

F Submission Management

Printing Submissions

F.1 Is there a way to print all the information before we submit on NRD?

While completing an *Initial Registration* or *Reactivation of Registration,* the system will allow an AFR to generate a copy of the submission for printing by selecting the *Print Submission* option below.



For other types of submissions, use the print function built into your browser (control + P in Internet Explorer) to print each page of the submission.

Reassigning Submissions

F.2 How can the Chief AFR or the Administrator re-assign files if an AFR is absent?

A Chief AFR or Administrator can re-assign files by performing an Individual Submission Search

Steps:

1. **Chief AFR or Administrator performs a search for an Individual submission using the following search criteria:**

   Submission status = Current Only

   AFR User ID = *enter the user id of absent AFR*

2. **From the search results open each submission by clicking on the hyperlink. You will see a yellow tab at the bottom of the local navigator called Re-assign submission. To re-assign a submission, click Re-assign Submission and enter the user ID of the AFR to whom you wish to reassign the submission. When you confirm, select save and continue. The submission is transferred to the WIP of the person to whom you have re-assigned it.**

G Business Locations

G.1 Can I file more than one change related to a business location?

No. Only one submission related to a given business location can be pending at any given time. For example, if a firm needs to report both an address change and change in supervision two submissions are required (Location address information change and Location Supervisor Change), however the first submission must be approved before the second submission can be filed.

G.2 Can I print a list of all business locations at my firm?

Yes. This can be generated from the standard types of reports available on NRD.

H Reports

H.1 What reports can I get from NRD?

There are 10 standard reports available on NRD. These include:

Reconciliation Report by Submission
Reconciliation Report by EFT
List of Registrants
List of AFRs
Permanent Record Report for an Individual Registrant
Annual Fee Detailed Report
Submission Status Report
Termination Follow-up Report
33-109F1 Report
Branch Listing Report