NATIONAL REGISTRATION DATABASE (NRD™) :

HOW TO GENERATE A RECONCILIATION REPORT BY EFT

January 2011

HOW TO GENERATE A RECONCILIATION REPORT BY EFT

What is the purpose of this report?

The Reconciliation Report by EFT is a tool for reconciling your firm's designated account statements to NRD's fee payment records.

A reconciliation report by EFT is a listing of electronic funds transfers from your firm's designated account that shows the amounts debited from that account over a period of time.

Who can generate this report?

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

How is this report generated?

1. From the Main Navigation bar, click the **ADMIN TOOLS** tab at the top of the screen, and then select
REPORTS from the left task menu . The system displays the list of reports available for generation. Select **Generate Reconciliation Report by EFT**.

2. The system displays the following report criteria:

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: [All ▼]
SRA/SRO: [All ▼]

Report Format:
( ) PDF
( ) Excel
( ) Comma-separated Values (CSV)

[Generate Report]   [Reset]

3. Enter the EFT identifier number or the EFT process date range. You may also use the following criteria to generate a report: EFT Status, and the regulator to whom the EFT was made.

The Reconciliation Report by EFT arranges data as follows:

➢ EFT: EFT Identifier, Process Date, Post-Tax Amount, Payee, Status & Record Type

➢ Firm: NRD No., Name, Submission No., Type, Pre-Tax Amount

➢ Submission: Date; Payment Type, Status (Created, Exchanged, Paid, Returned, Rejected), Status Date, Tax Name, Rate, & Jurisdiction.

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

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

Viewing PDF documents requires Adobe Acrobat Reader.

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

25980 - Test Firm 1234 Inc.

Report Status

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.

File Download

Do you want to open or save this file?

Name: 1143770.pdf
Type: Adobe Acrobat 7.0 Document, 36.0KB
From: 205.207.129.251

[Open] [Save] [Cancel]

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 database 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.

NRD Report

Time Run:	3:14:33pm	
Date Run:	2010/12/08	
Who Requested Report:	Banks, Thomas	
Name of Report:	Reconciliation Report by EFT	
EFT Process Date:	From 2010-11-01 to 2010-12-06	
EFT Status:	All	
Firm NRD No.:	25980	
SRA/SRO:	All	

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
201010100	11/1/2010	50.00	The Manitoba Securities Commission	Paid	C	25980	Test Firm 1234 Inc.	2010222162	Notice of Termination	50.00	10/25/2010	Initial	Paid	11/01/2010		0.00000	
Total		0.00															
201010101	11/1/2010	125.00	IIROC - Quebec (Quebec)	Paid	C	25980	Test Firm 1234 Inc.	2010222162	Notice of Termination	125.00	10/25/2010	Initial	Paid	11/01/2010		0.00000	
Total		0.00															
201010102	11/2/2010	56.50	NRD Revenue	Exchanged	C	25980	Test Firm 1234 Inc.	2010228478	Registration in an additional jurisdiction	50.00	11/1/2010	Initial	Created	11/01/2010	HST	0.13000	ON
	11/8/2010		NRD Revenue	Paid				2010228478	Registration in an additional jurisdiction	50.00	11/1/2010	Initial	Paid	11/08/2010	HST	0.13000	ON

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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 - All reports are retrieved within the same business day regardless of the size, although larger reports take longer to produce.