## **Submission Status Report**

On June 2, 2007, a new standard report will be available within the NRD application. The Submission Status Report will allow the following information to be summarized for any one firm:

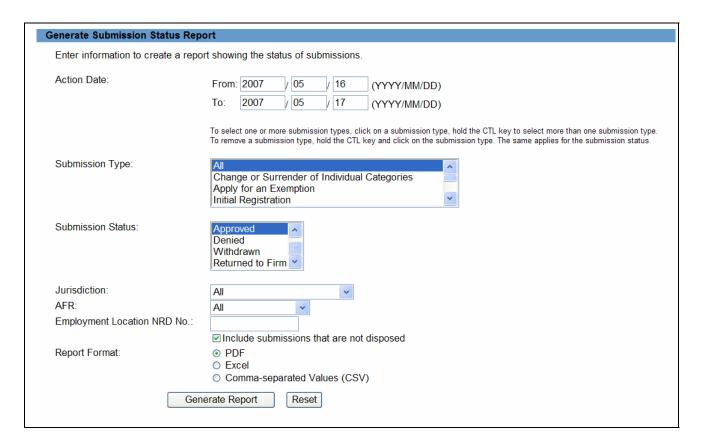
- 1. Within a specified date range, a list of submissions that were assigned a disposition by the Regulators, and
- 2. a list of pending submissions with Regulators.

## How to generate the report:

The report can be found in the "Admin Tools" section of NRD under "Reports." There are seven criteria that can be entered to create the report:

- 1. *Action Date*; this date can be from one day to one year. The report will list those submissions disposed on or during the date(s) specified
- 2. *Submission Type*; an AFR may select the report to list specific submission types or all submission types. Only individual type submissions will be listed.
- 3. *Submission Status*; the report can be further narrowed to include only submissions that have a certain status, that is: approved, denied, withdrawn or returned to firm.
- 4. *Jurisdiction*; an AFR can request for the report to list submissions pending and/or disposed by a particular jurisdiction.
- 5. AFR; the report can summarize the state of submissions sent by a particular AFR for a firm.
- 6. *Employment Location NRD Number*; if an AFR wants to see the status of submissions for individuals at a specific location, the location NRD number can be entered.
- 7. "Include submissions that are not disposed"; completion of this checkbox triggers the inclusion of submissions that have not yet been assigned a disposition by the regulators, where the submission date is up to one year before the creation of the report.

Figure 1: Sample input to produce a Submission Status Report on NRD.



## How to interpret the report output:

The report is available in the formats that are common to all NRD reports (pdf, Excel or csv). In addition, the report is prefaced by the standard report header that will include the report criteria and run date and time, as well as the report requestor.

The report is divided into two sections: i) the applicant information on the left, and ii) the submission information on the right.

**Applicant information**; the applicant NRD number, name and employment location NRD number are included. The employment location is either the current employment location of the individual or a location pending approval.

*Submission information*; the report will group submission types together and then sort by submission date. If the submission was sent to multiple jurisdictions, the status of the submission with each of the jurisdictions will be indicated. The "Jurisdiction" field will distinguish between the commission or IDA office from which disposition is pending or has been applied. The name of the AFR who made the submission will also be shown.

Figure 2; Sample output from the Submission Status Report on NRD.

## NRD Report

5:33:21pm Time Run: 2007/05/18 Date Run: Tsatsou, Panoraia Who Requested Report: Name of Report: Action Date: From 2007-05-16 to 2007-05-18 Submission Type: ΑII Submission Status: ΑII Jurisdiction: ΑII ΑII Firm NRD No.: 30980 Firm Name: Ideal Investments Include submissions that are not disposed

	Applicant Information				Submission Information							
NRD No.	Last Name	First Name	Location NRD No.	Submission Type	Date Submitted	Submission No.	Jurisdiction	Action	Date Action Applied	AFR		
										Last Name	First Name	
2064631	Keskembe	John	452402	Initial Registration	2007/05/18	200785829	Securities Commission of Newfoundlan d and Labrador	Approved	2007/05/18	Tsatsou	Panoraia	
							New Brunswick Securities Commission	Pending	2007/05/18			
							Nova Scotia Securities Commission	Pending	2007/05/18			
							Prince Edward Island Securities Registry	Pending	2007/05/18			

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	Applicant Information				Submission Information							
NRD No.	Last Name	First Name	Location NRD No.	Submission Type	Date Submitted	Submission No.	Jurisdiction	Action	Date Action Applied	AFR		
										Last Name	First Name	
2064641	Karpodini	Peter	452402	Initial Registration	2007/05/16	200785833	Securities Commission of Newfoundlan d and Labrador	Approved	2007/05/18	Tsatsou	Panoraia	
2064651	Karpodini	Drosia	452402	Reactivation of Registration	2007/05/16	200785838	Securities Commission of Newfoundlan d and Labrador	Pending	2007/05/16	Tsatsou	Panoraia	
2064651	Karpodini	Drosia	452402	Residential Address Change	2007/05/18	200785915	Securities Commission of Newfoundlan d and Labrador	Pending	2007/05/18	Tsatsou	Panoraia	