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Instructions on how to prevent wrong NRD fees for automatic reinstatement of registration

If an individual is terminated prior to the freeze period, who wishes to reinstate their registration after the freeze period, they will not be able to complete a Form 33-109F7 *Reinstatement of registered individuals and permitted individuals*, through NRD.

Since National Instrument 33-109 introduces the concept of automatic reinstatement upon submitting a completed Form 33-109F7, NRD has been changed to limit the categories and permitted activities available for selection to those the individual previously held. If an individual was terminated prior to the freeze period, the individual would not hold a registration category or permitted activity under NI 31-103, and therefore NRD prevents the firm from completing a Form 33-109F7; however, the regulators still view these applications as a reinstatement of registration.

NRD will instruct the firm to complete Form 33-109F4, labelled on NRD as a 'reactivation of registration'.

Since the regulators view these submissions as a reinstatement of registration and the majority of regulators do not charge to reinstate a registration, the firm is permitted to relate the reactivation to another submission number to avoid paying fees. Regulators recommend that firms follow this procedure. If the submissions are filed without being related, regulators cannot guarantee a timely turnaround in refunds.

Finding an appropriate submission number to relate the reactivations to

1. Log into NRD
2. Select the 'Search' tab
3. Select 'Individual submission'
4. Enter the last name and first name of a trading or advising officer of the firm
5. Select 'Search'
6. Record any submission number from the search results

Relating the submission

1. After updating all the required sections of the reactivation, select complete submission
2. Select 'Continue' on the warning page
3. Select 'Yes' you wish to relate the submission, and enter the submission number found above in the field provided
4. Select 'Continue'
5. Select 'Continue' to ignore the warning message that the submission number provided does not match the NRD number of the individual for whom you are making the application
6. Proceed with the remainder of the submit to regulator process.

Fees

If a regulator requires a fee for a reinstatement of registration, you must submit this fee. Also, the regulators will be reviewing all related submissions to ensure this feature is not being used in circumstances when it should not be.

If required to pay fees, follow these steps for each regulator in which you need to submit fees to:

1. Log into NRD
2. Select the 'Admin Tools' tab
3. Select 'resubmit fee payment'
4. Select the 'resubmit funds directly related to a submission, annual fee payment or firm registration', then 'Continue'
5. Enter the submission number of the reactivation, select the fee recipient, enter the fee amount, enter the reason, then select 'Continue'
6. Select 'Printable page'
7. Select the print icon from your web browser
8. Select 'Continue'
9. Select 'Acknowledge' to authorize payment