

December 8, 2009

Annual Renewal Fee Information

Preliminary Annual Fee Pull

On December 1 each year, NRD generates a Preliminary Fee Summary for the payment of annual fees of your firm. This summary is a projected amount based on the current number of individuals and locations recorded on NRD and/or current Ontario participation fee. This amount is subject to change based on the addition or removal of individuals, locations and/or an update to your Ontario participation fee.

To see the Preliminary Fee Summary:

1. Log into to NRD at www.nrd.ca
2. Select 'Firm Information'
3. Select 'Annual Fee Summary'

You can find instructions for a more detailed break down at <http://www.nrd-info.ca/using/hint7.jsp?lang=en>.

To create a detailed fee report:

1. Log into NRD at www.nrd.ca
2. Select 'Admin Tools'
3. Select 'Reports'
4. Select 'Generate Annual Fee Detailed Report'

A variety of criteria can be used to generate the detailed report. You can produce a report of either 'Preliminary' or 'Final' information through the 'Summary Type' drop-down selection.

Individuals that are not continuing registration in the new year

If individuals are terminating or surrendering their registration, you must submit an 'Annual Fee Exclusion/Reversal' by December 31. This will ensure these individuals are not counted in your Final Annual Fee Pull. If you have not already submitted a notice of termination or surrender of registration for such individuals, you must do so within seven days following January 1.

You can find instructions for filing the annual fee exclusion/reversal at <http://www.nrd-info.ca/using/hint8.jsp?lang=en>.

Final Annual Fee Pull

NRD will calculate your final annual fee on December 31. This amount will be drawn from your NRD account on the first business day following January 1. A 'Final Annual Fee Summary' and a 'Final Annual Fee Detailed Report' can be created by following the same steps as above for the Preliminary Annual Fee.

NRD Availability

NRD will become unavailable on December 31 at 15:00 ET for the Final Annual Fee Pull. NRD will be back online January 1 at 6:00 ET.