



Ontario Securities Commission
Registrant Regulation

NRD Release 1.8 Guide for AFRs

Enhancement descriptions and
'how to use' instructions

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Overview

This document describes each enhancement to the National Registration Database (NRD) in release 1.8 with instructions on how you can use the new functionality.

CR802 – Address/Agent for Service Information

A new section will be added to firm information that allows Regulators from each jurisdiction to record an address and agent for service. Applicants may use the firm’s address and agent for service when filing an initial type or change address for service submission.

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CR939 – Correct Notice of Termination Information

A new submission type – Correct Termination Information – will be added to NRD which allows firms to make corrections to previously filed termination information.

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CR802 – Address/Agent for Service Information

This change request allows for two things:

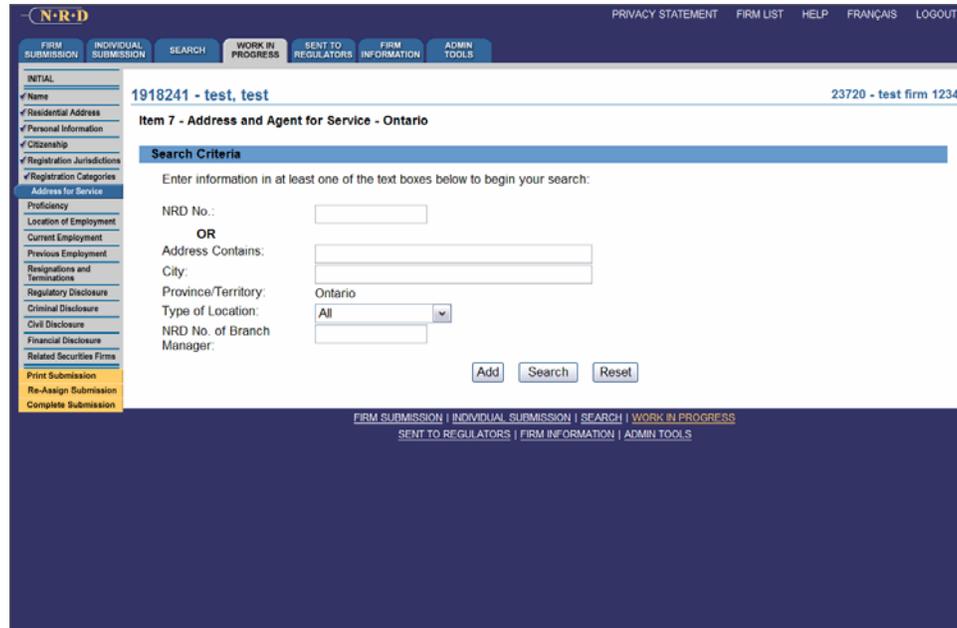
1. a section under firm information for address/agent for service information, and
2. the ability for applicants to select the firm's address for service from a search function when filing an initial type application or address/agent for service change.

A new section has been added under firm information for address and agent for service. Regulators from each jurisdiction are responsible for updating the address and agent for service information for their jurisdiction upon request from the firm.

When filing an initial type submission or address/agent for service change, the applicant is presented with a search page under item 7 – address for service. The applicant can use the search page to search for a branch, sub-branch, head office or the firm's address for service (if entered by the regulators). The applicant may also manually type an address for service by selecting the 'Add' button. If the firm changes their address for service in a jurisdiction and the Regulators update their record, NRD will automatically update the records of all individuals tied to that address for service. This will eliminate the need for filing individual address/agent for service changes.

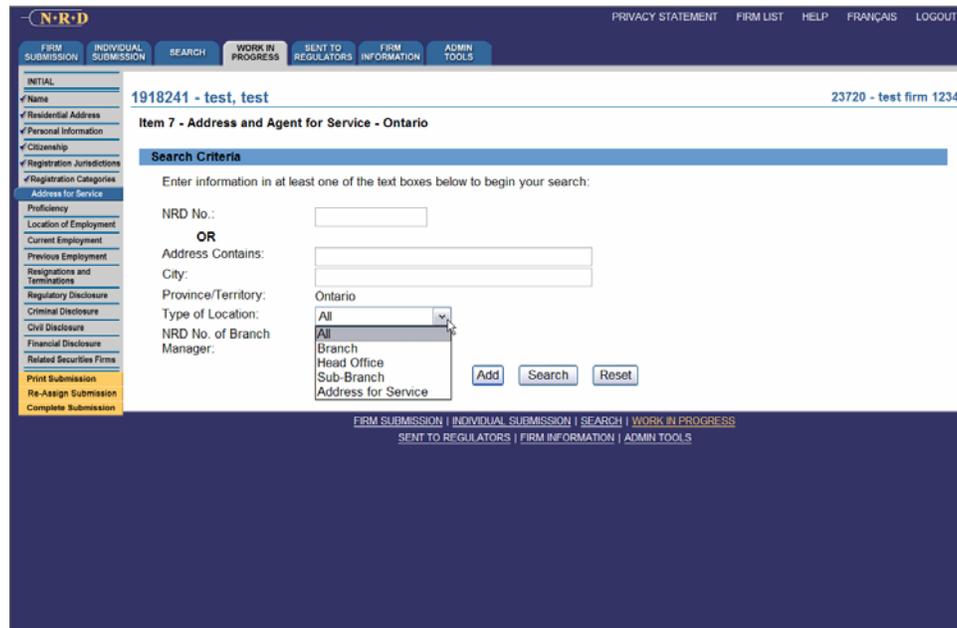
Here are the steps for using the new search functionality:

Step 1: After selecting your registration categories for a jurisdiction you are presented with the new search page.



The screenshot shows the NRD search interface. At the top, there is a navigation bar with links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a menu with tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area is titled "1918241 - test, test" and "23720 - test firm 1234". It displays "Item 7 - Address and Agent for Service - Ontario". The "Search Criteria" section prompts the user to "Enter information in at least one of the text boxes below to begin your search:". The search criteria include: NRD No. (text box), OR, Address Contains: (text box), City: (text box), Province/Territory: (dropdown menu set to Ontario), Type of Location: (dropdown menu set to All), and NRD No. of Branch Manager: (text box). At the bottom of the search criteria are "Add", "Search", and "Reset" buttons. A sidebar on the left contains a list of registration categories, with "Address for Service" selected. At the bottom of the page, there are links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

Step 2: Enter your search requirements and select 'Search'.



This screenshot is identical to the one above, but the "Type of Location" dropdown menu is open, showing the following options: All, Branch, Head Office, Sub-Branch, and Address for Service. The "All" option is currently selected. The "Search" button is highlighted, indicating it is the next step in the process.

Step 3: Your search results are returned. Select the NRD No hyperlink (the underlined number) to populate the information in the individual's application.

The screenshot shows the NRD application interface. The top navigation bar includes links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a menu with options: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar contains a list of application sections, with 'Address for Service' selected. The main content area displays the search results for '1918241 - test, test' (23720 - test firm 1234). Under 'Item 7 - Address and Agent for Service - Ontario', there is a 'Search Criteria' section with input fields for NRD No., Address Contains, City, Province/Territory, Type of Location, and NRD No. of Branch Manager. Below this is a 'Search Results' section showing one result:

NRD No.	Address Line 1	City	Province	Type of Location
<u>394282</u>	1234 Bay St.	Toronto	Ontario	Address for Service

Step 4: The information appears in full. If this is the correct information select 'Continue>>'. If this information is incorrect, select 'Cancel'.

The screenshot shows the NRD application interface with the full details for the selected NRD No. 394282. The page displays the 'Address for Service' and 'Agent for Service' information. The 'Address for Service' section includes:

- Address Line 1: 1234 Bay St.
- Address Line 2: (if applicable)
- City: Toronto
- Province/Territory: Ontario
- Postal Code: M9M 9M9
- Country: Canada
- Telephone No.: 416-555-1234 ext.: (if applicable)
- Fax: (if applicable) 416-555-5678
- E-Mail Address: (if applicable)

The 'Agent for Service' section includes:

- Name of Agent for Service: (if applicable) Test Firm
- Contact Person:
 - Last Name: Doe
 - First Name: Jane

At the bottom of the form, there are 'Continue >>' and 'Cancel' buttons.

Here are the steps if you wish to manually add an address and agent for service:

Step 1: After selecting your registration categories for a jurisdiction you are presented with the new search page. Select 'Add'.

The screenshot shows the NRD web application interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a menu with tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area is titled "1918241 - test, test" and "23720 - test firm 1234". The page is for "Item 7 - Address and Agent for Service - Ontario". Under the "Search Criteria" section, there is a prompt: "Enter information in at least one of the text boxes below to begin your search:". The search criteria include: NRD No. (text box), OR, Address Contains: (text box), City: (text box), Province/Territory: (dropdown menu set to Ontario), Type of Location: (dropdown menu set to All), NRD No. of Branch Manager: (text box). At the bottom of the search criteria section, there are three buttons: "Add", "Search", and "Reset". The "Add" button is highlighted with a mouse cursor. On the left side, there is a vertical navigation menu with various categories like INITIAL, Name, Residential Address, Personal Information, Citizenship, Registration Jurisdictions, Address for Service, Proficiency, Location of Employment, Current Employment, Previous Employment, Resignations and Terminations, Regulatory Disclosure, Criminal Disclosure, Civil Disclosure, Financial Disclosure, and Related Securities Firms. At the bottom of the page, there is a secondary navigation bar with links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

Step 2: You are presented with the same page that NRD used to present for address and agent for service.

The screenshot shows the NRD web application interface, similar to the previous one. The main content area is titled "1918241 - test, test" and "23720 - test firm 1234". The page is for "Item 7 - Address and Agent for Service - Ontario". Under the "Address for Service" section, there is a note: "(do not use a P.O. box)". Below this, there is a prompt: "You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered individual. A post office box is not an acceptable address for service." The address fields include: Address Line 1: (text box), Address Line 2: (if applicable) (text box), City: (text box), Province/Territory: (dropdown menu set to Ontario), Postal Code: (text box), Country: (dropdown menu set to Canada), Telephone No.: (text box) ext.: (if applicable) (text box), Fax: (if applicable) (text box), and E-Mail Address: (if applicable) (text box). Under the "Agent for Service" section, there is a prompt: "If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below." The agent fields include: Name of Agent for Service: (if applicable) (text box), Contact Person: Last Name: (text box), and First Name: (text box). At the bottom of the page, there are three buttons: "Cancel", "Save & Continue >>", and "Reset". The "Save & Continue >>" button is highlighted with a mouse cursor. The left side navigation menu and the bottom navigation bar are the same as in the previous screenshot.

Step 3: Enter the information and select 'Save & Continue>>'.
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NRD PRIVACY STATEMENT FIRM LIST HELP FRANÇAIS LOGOUT

FIRM SUBMISSION INDIVIDUAL SUBMISSION SEARCH WORK IN PROGRESS SENT TO REGULATORS FIRM INFORMATION ADMIN TOOLS

INITIAL: 1918241 - test, test 23720 - test firm 1234

Item 7 - Address and Agent for Service - Ontario

Address for Service (do not use a P.O. box)

You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered individual. A post office box is not an acceptable address for service.

Address Line 1: 1234 Toronto St.
Address Line 2: (if applicable)
City: Toronto
Province/Territory: Ontario
Postal Code: L9L 9L9
Country: Canada
Telephone No.: 416-555-4321 ext.: (if applicable)
Fax: (if applicable)
E-Mail Address: (if applicable)

Agent for Service

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.

Name of Agent for Service: (if applicable)
Contact Person:
Last Name:
First Name:

Cancel Save & Continue >> Reset

CR939 – Correct Notice of Termination Information

This change request allows firms to submit a Notice to correct termination information. This new Notice is found under individual submissions, notices, correct termination information. Firms can use this Notice for any individuals that are currently suspended – employment terminated with their firm. The firm is required to provide a reason for the correction to previously submitted information.

Step 1: Select ‘Individual Submission’, then ‘Notice’, then ‘Correct Termination Information’.

The screenshot displays the NRD (National Regulatory Database) web application interface. The top navigation bar includes links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this, a secondary navigation bar contains buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area shows a breadcrumb trail: Initial > Amendment > Notice. The current page title is '24020 - Test Firm 2'. The primary action is 'Select a Notice', which has expanded to show a list of options: Notice of Termination, Correct Termination Information, Individual Name Change, Residential Address Change, Personal Information Change, Citizenship Information Change, Address or Agent for Service Change, Proficiency Information Change, Exemption Refusal Information Change, Employment Location Change, Current/Previous Employment Change, Regulatory Disclosure Change, Resignations and Terminations Change, Criminal Disclosure Change, Civil Disclosure Change, Financial Disclosure Change, and Related Securities Firms Change. A footer at the bottom of the page repeats the navigation options: FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS | SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS.

Step 2: Enter the NRD number of the individual for which you wish to correct the termination information and select 'Continue>>'.

The screenshot shows the NRD web application interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. On the left side, there is a vertical menu with options: Initial, Amendment, and Notice. The main content area displays '24020 - Test Firm 2' and a text input field labeled 'NRD No.' containing the value '1935191'. Below the input field are two buttons: 'Continue >>' and 'Reset'. At the bottom of the page, there is a breadcrumb trail: FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS | SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS.

If you provide the NRD number of an individual that is not terminated, you will receive an error message stating 'The individual has not been terminated by your firm.'

Step 3: Provide a reason for correction and select 'Save & Continue>>'.

The screenshot shows the NRD web application interface for Step 3. The top navigation bar is identical to the previous screenshot. The secondary navigation bar is also identical. The left vertical menu now includes 'Termination Information' in addition to the previous options. The main content area displays '1935191 - test, test' and '24020 - Test Firm 2'. Below this, there is a section titled 'Correction of Termination Information' with a sub-section 'Correction Details'. Under 'Correction Details', there is a label 'Reason For Correction :' followed by a text area containing the text 'incorrect date of termination'. At the bottom of the page, there are two buttons: 'Save & Continue >>' and 'Reset'.

