



NATIONAL REGISTRATION DATABASE (NRD™):
HOW TO GENERATE A LIST OF INDIVIDUALS WITH 33-109F4 ITEMS REQUIRING A RESPONSE

February 2023

HOW TO GENERATE A REPORTABLE ACTIVITIES REPORT

What is the purpose of this report type?

A list of individuals with 33-109F4 items requiring a response is a listing of current individuals at your firm with a registration status of Active or Suspended (Regulatory Action) and have items in their permanent record that have not been answered. This report may be used as a tool for reviewing and updating the 33-109 F4 items currently stating “*There is no response to this question.*”

The report includes information from the permanent record of an individual and does not reflect any information included in a submission that is currently under review by Regulators.

Who can generate this report?

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** button, and then select **REPORTS** from the left menu bar. The system displays the list of reports available for generation. Select **Generate Reportable Activities Report**.

The screenshot shows a web application interface with a top navigation bar containing buttons for 'FIRM SUBMISSION', 'INDIVIDUAL SUBMISSION', 'SEARCH', 'WORK IN PROGRESS', 'SENT TO REGULATORS', 'FIRM INFORMATION', and 'ADMIN TOOLS'. The 'ADMIN TOOLS' button is highlighted. On the left, a vertical menu lists various administrative functions, with 'Reports' selected. The main content area displays a list of reports for '77820 - Test Firm 1234 Inc.'. The reports listed are: 'Generate Reconciliation Report by Submission', 'Generate Reconciliation Report by EFT', 'List Registrants', 'List AFRs', 'Generate Progress Report on Submission for Individuals Included in Data Transfer', 'Generate Permanent Record Report for an Individual Registrant', 'Generate Annual Fee Detailed Report', 'Generate Submission Status Report', 'Generate Cessation (formerly Termination) Follow-up Report', 'Generate 33-109F1 Report', 'Generate Branch Listing Report', 'Generate Report for Current Terms and Conditions for Individuals', 'Generate Reportable Activities Report', 'List of Individuals with 33-109F4 Items Requiring a Response' (circled in red), and 'Recall Report by Number'.

2. The system displays the following page for input of the report criteria:

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

77820 - Test Firm 1234 Inc.

List of Individuals with 33-109F4 Items Requiring a Response

To generate a report, enter the information in any of the applicable fields. The report will list all Active and Suspended (Regulatory Action) individuals with no response to mandatory fields.

Individual NRD No.:

Employment Location NRD No.:

Jurisdiction:

Report Format: Excel
 Comma-separated Values (CSV)

3. You may generate a List of Individuals with 33-109F4 Items Requiring a Response based on the criteria: Individual NRD No. and/or Employment Location NRD No. and/or Jurisdiction.

You may generate the report for all individuals at your firm or enter the Individual NRD No. for a specific individual. You may enter the Employment Location NRD No. for a list of individuals in a specific location. You may choose to select one or more Jurisdictions, which presents the principal jurisdiction for an individual in your firm. If you do not select a jurisdiction in the drop-down list, it will default to All and generate a report for all Jurisdictions in which your firm is registered.

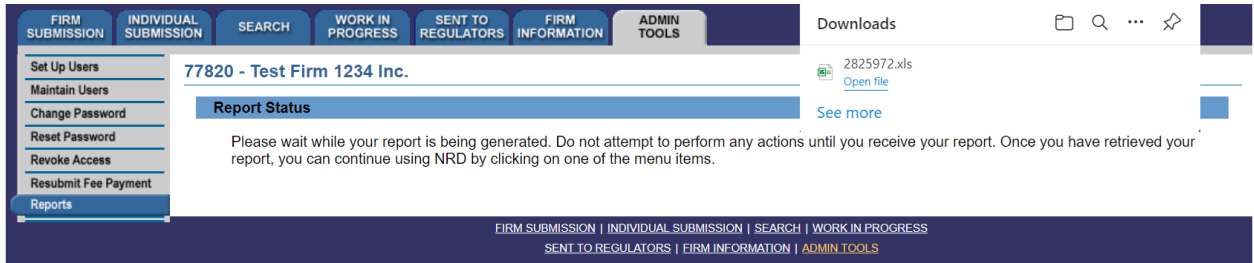
The List of Individuals with 33-109F4 Items Requiring a Response arranges data as follows:

- Individual: Individual NRD No., Last Name, First Name, Second Name, Employment Location NRD No., Principal Regulator
- 33-109F4 Items: Item 1 Name, Item 2 Residential Address, Item 8.1 Proficiency - Chartered Financial Analyst (CFA) Charter, Item 8.1 Proficiency – Canadian Investment Manager (CIM) Designation, Item 10 Reportable Activities, Item 11 Previous employment and other activities, Item 12 Resignations and Terminations, Item 13 Regulatory Disclosure, Item 14 Criminal Disclosure, Item 15 Civil Disclosure, Item 16 Financial Disclosure, Item 17 Ownership of Securities and Derivatives Firms

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 creation. When the report is ready, the system launches the report in the format you

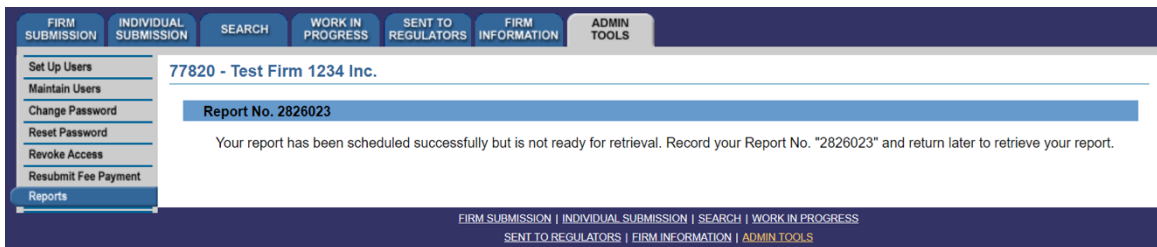
selected, and a pop-up message appears. This report available in the formats common to all NRD reports (Excel or CSV).



If you select “Open file”, the system will launch Excel if you selected Excel or CSV formats. You can now view and print the report. 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.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	NRD Report																		
2	Time Run:	11:18:53 AM																	
3	Date Run:	02-08-2023																	
4	Who Requested Report:	AFR, Test																	
5	Name of Report:	List of Individuals with 33-109F4 Items Requiring a Response																	
6																			
7	Firm NRD No.:	77500																	
8	Firm Name:	Test Firm 1234 Inc.																	
9																			
10	Individual NRD No.	Last name	First name	Second name	Employment	Item 1 Name	Item 2 Resid	Item 8.1 Pro	Item 8.1 Pro	Item 10 Rep	Item 11 Prev	Item 12 Resi	Item 13 Regi	Item 14 Crim	Item 15 Civil	Item 16 Final	Item 17 Own	Principal	Regulator
11	11001	Tester	One		100002			Not Applicab	Not Applicab	No Response	No Response								ON
12	11021	Tester	Two		100002			Not Applicab	Not Applicab	No Response	No Response								ON
13	11031	Tester	Three		100022			Not Applicab	Not Applicab	No Response	No Response								ON
14	11041	Tester	Four		100022		No Response	Not Applicab	Not Applicab	No Response				No Response		No Response			ON
15	11051	Tester	Five		100032			Not Applicab	Not Applicab	No Response									ON
16	11061	Tester	Six		100032			Not Applicab	Not Applicab	No Response	No Response								ON
17	11071	Tester	Seven		100032			Not Applicab	Not Applicab	No Response	No Response								ON

- 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 - NRD reports are generated based on your firm and individual registrant’s records as of 5 minutes prior to generating the report. Therefore, if your firm has had

changes in the last 5 minutes the information will not be reflected on the report. Also note, larger reports will take more time to generate and be made available for you to review.