



**NATIONAL REGISTRATION DATABASE (NRD™):  
HOW TO GENERATE A REPORTABLE ACTIVITIES REPORT**

**February 2023**

# HOW TO GENERATE A REPORTABLE ACTIVITIES REPORT

## What is the purpose of this report type?

A reportable activities report is a listing of reportable activities for the current individuals at your firm with a registration status of Active or Suspended (Regulatory Action). This report may be used as a tool for reviewing the reportable activities of your registrants to determine whether updates to these activities are required and sent to Regulators within the filing deadlines under NI 33-109.

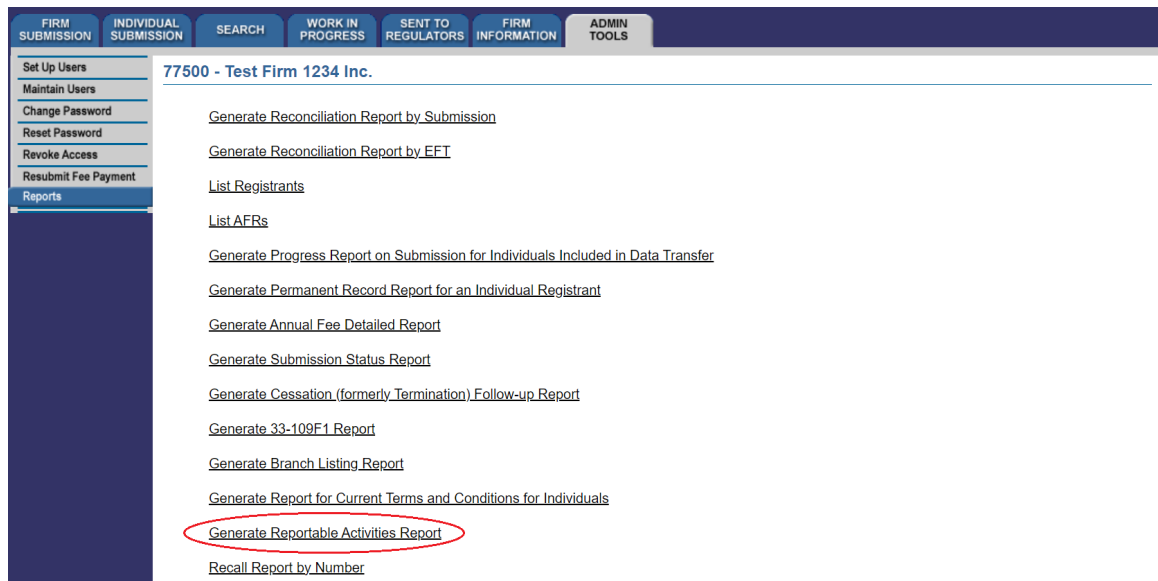
**The report includes information from the permanent record of an individual and does not reflect any information included in a submission that is currently under review by Regulators.**

## Who can generate this report?

A Chief AFR, AFR or AFR Administrator for a registered firm(s) may complete this function.

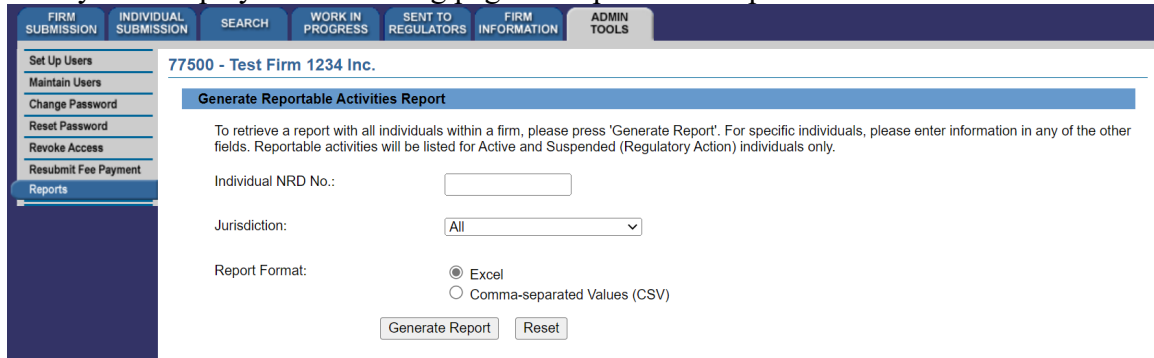
## How is this report generated?

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 displays a web application interface for a firm named "77500 - Test Firm 1234 Inc.". The top navigation bar includes tabs for "FIRM SUBMISSION", "INDIVIDUAL SUBMISSION", "SEARCH", "WORK IN PROGRESS", "SENT TO REGULATORS", "FIRM INFORMATION", and "ADMIN TOOLS". The "ADMIN TOOLS" tab is active, and a left-hand menu is open, showing options like "Set Up Users", "Maintain Users", "Change Password", "Reset Password", "Revoke Access", "Resubmit Fee Payment", and "Reports". The "Reports" menu item is selected, displaying a list of report types. The "Generate Reportable Activities Report" link is circled in red. Other report types listed include "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", and "Recall Report by Number".

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



3. You may use the following criteria to generate a report: Individual NRD No., Jurisdiction and Report format.

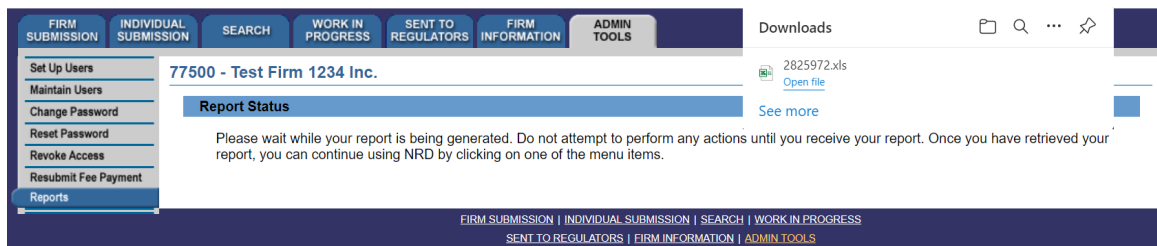
You may generate the report for all individuals at your firm or enter the Individual NRD No. for a specific individual. You may choose to select one or more Jurisdictions, which presents the principal jurisdiction for an individual in your firm. If you do not select a jurisdiction in the drop-down list,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

The Reportable Activities Report arranges data as follows:

- Individual: Individual NRD No., Last Name, First Name, Second Name, Employment Location NRD No.
- Reportable Activities: Name of Business or Employment, Start Date, Immediate Supervisor Last Name, Immediate Supervisor First Name, Immediate Supervisor Title, Address Line 1, Address Line 2, City, Province/Territory/State, Country, Description of the Reportable Activity, Title(s), Work Hours, Conflicts of Interest, Effective Date, Principal Regulator

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	T	U
1	NRD Report																				
2	Time Run:	08:55:18 PM																			
3	Date Run:	01/24/2023																			
4	Firm Legal Name	Test Firm 1234 Inc.																			
5	Firm NRD Number:	77500																			
6	Who Requested Report:	AFR_Test																			
7	Name of Report:	Reportable Activities Report																			
8	Individual NRD No.	Last Name	First Name	Second Name	Employment Location	Reportable Activities	Start Date	Immediate Supervisor	Immediate Supervisor	Immediate Supervisor	Address Line 1	Address Line 2	City	Province/Territory/State	Country	Description	Title(s)	Work Hours	Conflicts of Interest	Effective Date	Principal Regulator
9		11001	Tester	One		11002 Test Firm 12	01/01/2019	Supervisor	One	Supervisor	1 Address St.		Toronto	Ontario	Canada	Desc one	There is no r	20.00		10/01/2011	ON
10		11001	Tester	One		11002 Test Firm 11	01/01/2010	Supervisor	One	Supervisor	2 Address St.		Toronto	Ontario	Canada	Desc two	There is no r	0.00	Conflicts Fir	01/01/2010	ON
11		11001	Tester	One		11002 Test Firm 21	01/01/1997	Supervisor	One	Supervisor	3 Address St.		Toronto	Ontario	Canada	Desc three	There is no r	20.00	Conflicts Fir	03/01/2021	ON
12		11011	Tester	Two		11022 Test Firm 12	01/01/2020	Supervisor	One	Supervisor	1 Address St.		Toronto	Ontario	Canada	Desc four	There is no r	20.00		04/01/2020	ON
13		11011	Tester	Two		11022 Test Firm 11	01/01/2022	Supervisor	One	Supervisor	2 Address St.		Toronto	Ontario	Canada	Desc five	There is no r	0.00	Conflicts Fir	01/01/2022	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**.

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](#)

77500 - Test Firm 1234 Inc.

---

Report No. 2826023

Your report has been scheduled successfully but is not ready for retrieval. Record your Report No. "2826023" and return later to retrieve your report.

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

**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.