



**NATIONAL REGISTRATION DATABASE (NRD™):  
HOW TO GENERATE AN OUTSTANDING INDIVIDUAL  
SUBMISSIONS REPORT**

**November 2023**

# HOW TO GENERATE AN OUTSTANDING INDIVIDUAL SUBMISSIONS REPORT

## What is the purpose of this report type?

An outstanding individual submissions report is a listing of outstanding individual submissions in your firm with a status of Work in Progress or Submitted. This report may be used as a tool for follow-up with these outstanding individual submissions of your firm to determine whether further actions are required.

## 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 Outstanding Individual Submissions Report**.

The screenshot displays a web application interface. At the top, there is a navigation bar with buttons for 'FIRM SUBMISSION', 'INDIVIDUAL SUBMISSION', 'SEARCH', 'WORK IN PROGRESS', 'SENT TO REGULATORS', 'FIRM INFORMATION', and 'ADMIN TOOLS'. Below the navigation bar, a left-hand menu is visible with options: 'Set Up Users', 'Maintain Users', 'Change Password', 'Reset Password', 'Revoke Access', 'Resubmit Fee Payment', and 'Reports'. The 'Reports' option is highlighted. The main content area shows the title '79080 - Test Firm 1234 Inc.' followed by a list of report options, each with a blue underline: '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', 'Generate Outstanding Individual Submissions Report' (circled in red), 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., Submission Type, Submission Status 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 a specific submission type and/or a specific submission status. If you do not select a submission type or a submission status in the drop-down list, it will default to All and generate a report for all outstanding submissions which are created by your firm.

If a submission has a submission status of ‘Work in Progress’, then the Principal Regulator and the Reviewer Name are not shown on the report.

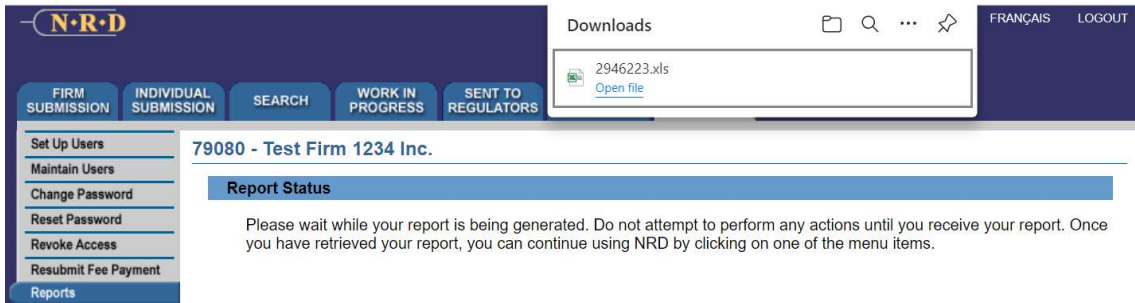
The Outstanding Individual Submissions Report arranges data as follows:

- Individual: Individual NRD No., Individual Name
- Submission: Submission No., Submission Type, Submission Status, Creation Date, AFR User ID, AFR Name, Principal Regulator, Reviewer Name

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 (PDF, Excel or CSV).

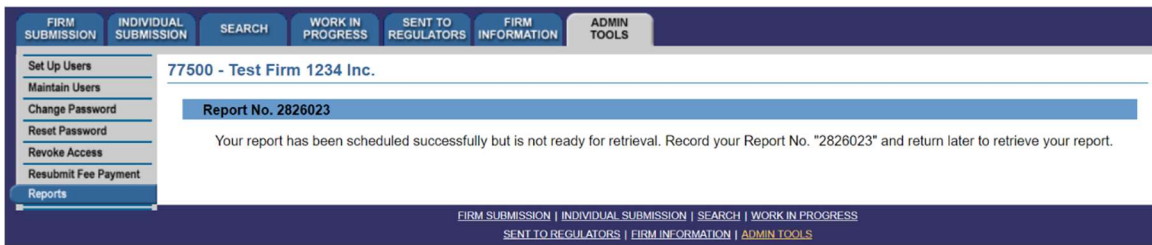
Viewing PDF documents requires Adobe Acrobat Reader.



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
1	NRD Report											
2	Time Run:	03:11:39 PM										
3	Date Run:	08/10/2023										
4	Who Requested FAFR, Test											
5	Name of Report:	Outstanding Individual Submissions Report										
6	Firm NRD No.	Firm Name	Individual NRD No	Individual Name	Submission No.	Submission Type	Submission Status	Creation Date	AFR User ID	AFR Name	Principal Regulator	Reviewer Name
7	77550	Test Firm 1234 In	11001	Tester, One	202300001	Reactivation of ReWork	In Progress	07/13/2023	TESTA0001	AFR, Test		
8	77550	Test Firm 1234 In	11011	Tester, Two	202300002	Item 9 - Employ	Submitted	07/24/2023	TESTA0001	AFR, Test	CIRO - Québec (C	Regulator, Test
9	77550	Test Firm 1234 In	11021	Tester, Three	202300003	Item 10/11 - Repc	Submitted	08/08/2023	TESTA0001	AFR, Test	CIRO - Québec (C	Regulator, Test
10												

- 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.