

NATIONAL REGISTRATION DATABASE (NRD $^{\text{TM}}$): HOW TO REGISTER IN AN ADDITIONAL JURISDICTION

HOW TO REGISTER IN AN ADDITIONAL JURISDICTION

(Complete Form 33-109F4: NRD Submission "Registration of Individuals and Review of Permitted Individuals")

When is this submission type used?

Use this submission if the individual is currently registered in one or more jurisdictions and is seeking registration in one or more additional jurisdictions with the same sponsoring firm.

Who can complete this submission?

All AFRs for a firm that is registered in multiple jurisdictions may complete this submission. The submission cannot be assigned to the individual applicant for completion.

How is this submission completed?

1. From the Main Navigation bar, select **Individual Submission**. Then click **Initial** on the list of Individual submission types, and then **Registration in an Additional Jurisdiction**.

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Select a Reinstatement 33-109F7

Reinstatement of Registration

Use this submission to reinstate your registration if (i) you submit this within three months of leaving your former sponsoring firm, (ii) you are reinstating your registration in the same jurisdiction(s) and the same category(ies) as your registration with your former sponsoring firm, and (iii) there have been no unreported changes to information previously submitted in items 13 to 16 of your Form 33-109F4 and (iv) you were not dismissed or asked to resign from your former sponsoring firm. Otherwise, use the submission 'Reactivation of Registration.'

Select an Initial 33-109F4

Initial Registration

Use this submission if you are applying for registration through NRD for the first time.

Registration with an additional sponsoring firm

Use this submission if you are not leaving your current sponsoring firm and you are applying for registration with an additional sponsoring firm.

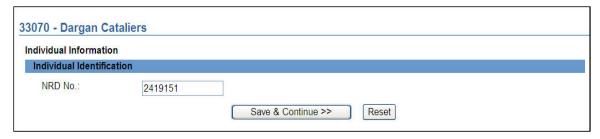
Registration in an additional jurisdiction

Use this submission if you are currently registered in a jurisdiction and the firm that is sponsoring that registration is sponsoring this application for registration in another jurisdiction.

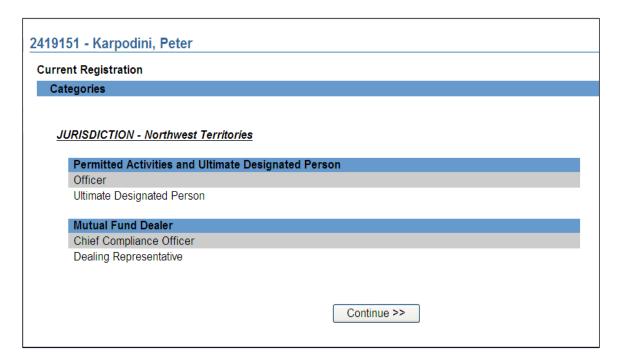
Reactivation of Registration

Use this submission to reactivate your registration if (i) you submit this more than three months after leaving your former sponsoring firm, (ii) you are seeking registration in jurisdiction(s) or category(ies) that differ from employment with your former sponsoring firm, (iii) you have a change to information previously submitted in items 13 to 16 of your Form 33-109F4, and (iv) you were dismissed or asked to resign from your former sponsoring firm.

2. Enter the individual's NRD number who is seeking registration or approval as a permitted individual in the additional jurisdiction(s).



3. The system displays the jurisdiction(s) and categories in which the individual is currently registered with your firm. If this is the correct individual, click **Continue**. If this is not the correct individual, click on your **Work in Progress** tab, and delete the submission.

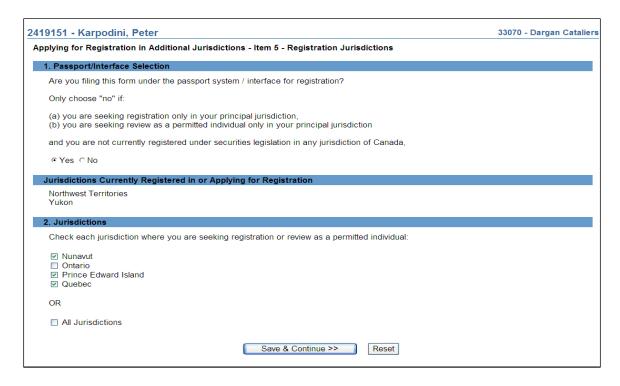


4. The system displays the jurisdictions selection page.

Answer 'yes' to the Passport/Interface question unless the individual is seeking registration to trade on behalf of a restricted dealer or to advise on behalf of a restricted portfolio manager.

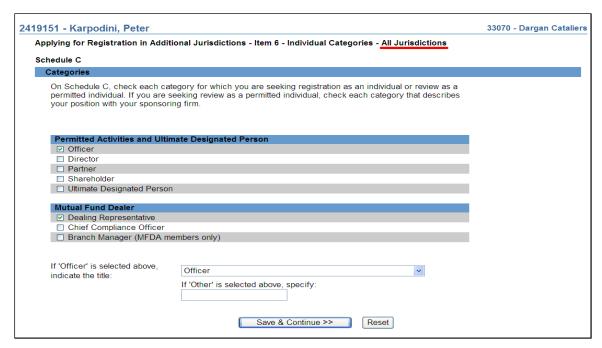
Select the jurisdiction(s) to which you are making this application. If you are making this application to all jurisdictions in the list, you may select 'All Jurisdictions'.

You may click **Reset** to clear the selections, or **Save & Continue** to proceed to the next page in the submission.

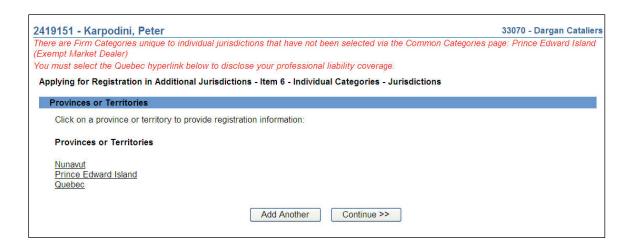


- 5. If you only selected one jurisdiction in step 4, please proceed to step 7.
- 6. If you selected multiple jurisdictions in step 4, the system displays the common categories page. Categories and officer title selected on this page will apply to all jurisdictions included in the submission.

Select all common permitted activities, categories and officer title, which are applicable to the individual, then select **Save & Continue**.



- 7. The system presents a hyperlink list of the jurisdiction(s) selected in step 4.
 - (a) If this application is being filed in multiple jurisdictions and the firm is registered in varying categories across those jurisdictions, the system will present a message prompting review of those categories. Use the hyperlink list to review the unique categories in each jurisdiction.
 - (b) If you select Quebec and are registered as a representative for a Mutual Fund Dealer or Scholarship Plan Dealer, then complete the question related to Professional Liability Insurance.

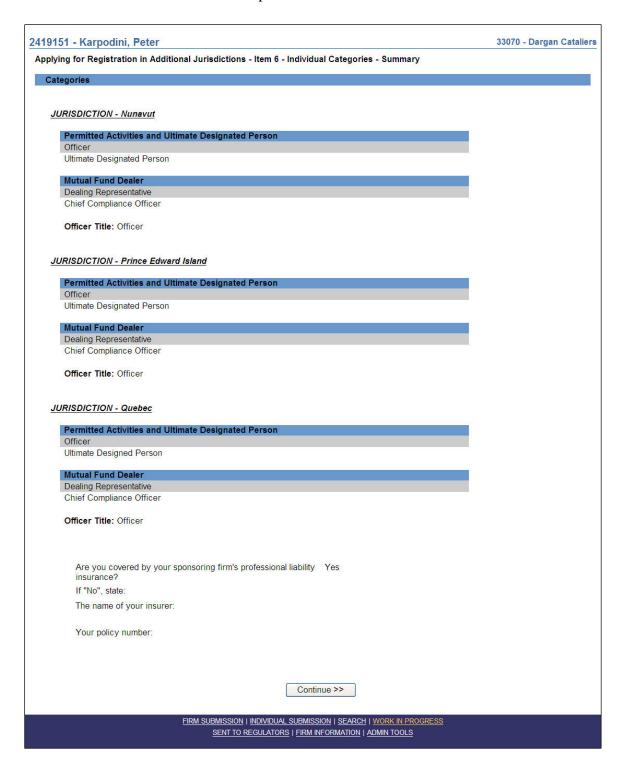


(c) If this application is only being filed in one jurisdiction, select the hyperlink for that jurisdiction. Select all permitted activities, categories and officer title, which are applicable to the individual, then select **Save & Continue**.

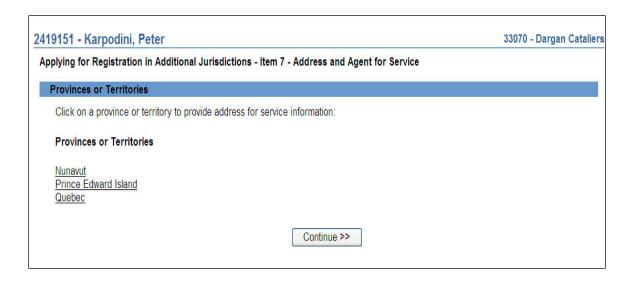


8. When information for each jurisdiction or 'all Jurisdictions' elected is complete, click **Continue**.

9. The system presents a summary of the jurisdictions and categories included in the submission. Click **Continue** to complete the remainder of the submission.



10. The system presents a hyperlink list of the jurisdiction(s) for the input of Address for Service. Select the first jurisdiction on the list to input an Address for Service.

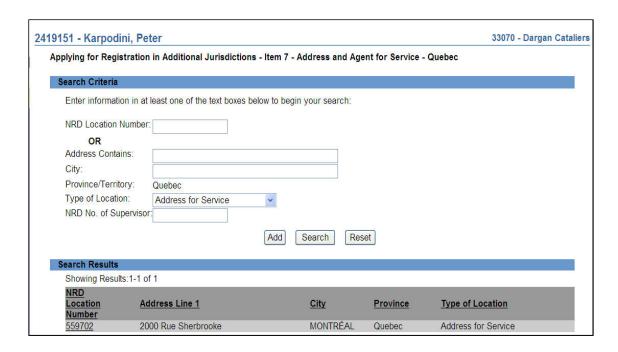


11. The system displays the Address for Service page. Use the 'Type of Location' drop down box to select the Address for Service location and then select **Search**.

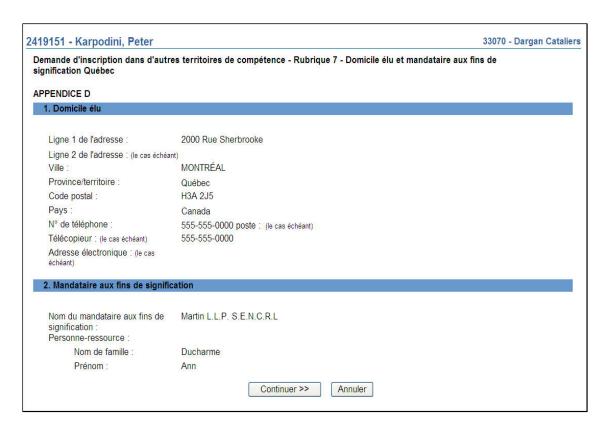


12. From the search results, select the location for the individual's Address for Service by clicking on the NRD location number hyperlink.

It is highly recommended to select the firm's Address for Service from the search results presented, since any future updates to those locations will automatically be reflected in the individuals' permanent record without the need to file a notice.

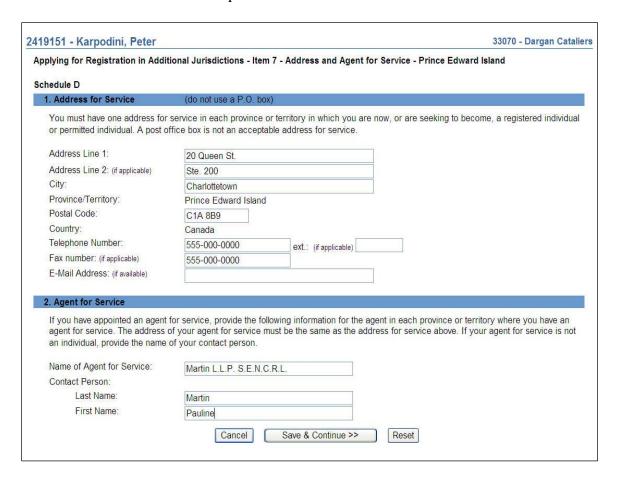


13. Review the information for the location that is the individual's Address for Service, then click **Continue**.



14. To manually add Address for Service information, select **Add** from the Search criteria page in step 11. Complete the information, including Agent for Service if appropriate. Click **Continue**.

If Address for Service is manually added, all updates to the address will require the filing of a notice. It is preferable to select an existing Address for Service or working location using the Search function instead of manually adding an address to reduce future maintenance of the individual's permanent record.



15. Repeat the above steps for each jurisdiction. Once completed, click on **Continue**.

16. The system asks you to confirm that the Permanent Record has current information for Regulatory, Criminal, Civil, Financial and Ownership of Securities and Derivatives Firms disclosure. If all disclosure is current, check the 'Not Applicable' box and click **Continue** to begin the **Complete Submission** process. If all disclosure is not current then you must submit notices to update the permanent record.

plying for Registration in Additional Jurisdictions - Confirm Permanent Record	
onfirm Permanent Record	
By checking the appropriate box, indicate whether you have any new information to disclose for the iteristed below. If your information is up-to-date, select "Not-Applicable".	ns
Regulatory Disclosure (Item 13) Criminal Disclosure (Item 14) Civil Disclosure (Item 15) Financial Disclosure (Item 16) Ownership of Securities and Derivatives Firms (Item 17) Not Applicable	
you have selected any box other than "Not Applicable", you will be required to update your information mediately upon sending this submission to regulators. Not updating the information may result in a decapproval of this submission.	
pon completing this submission, you will be submitting 33-109F4 in its entirety to the regulators associate this submission.	ated
with this submission. Continue >> Reset	

17. **Complete Submission** process:

(a) Print Submission Page

Before sending the submission to the Regulators, you can print the submission.

(b) Completeness check

When you are working on a submission and you:

- Click Complete Submission on the local navigator; or
- Click **Continue** on the last page of the submission and start the **Complete Submission** process

The system validates your submission and checks it for completeness. If all the required information has been entered, the system will display a message confirming that the submission is ready to be sent to regulators. Any incomplete items prompt an error message in red text that describes what information is incomplete in the submission. You can navigate directly to that section by clicking the corresponding tab on the local navigator.

(c) Relating this submission to a deficiency

If this submission was returned to you by the Regulators, this answer is defaulted to "yes" and the submission number is pre-populated and cannot be changed. If the submission is related to a deficiency other than a submission returned for correction, select "Yes" and enter the related submission number, *otherwise*, *duplicate fees will be charged and not refunded*.

There are no submission fees payable for submissions that are related to previous submissions. Click **Continue** after you have clicked "Yes" or "No," as applicable. NRD will calculate the fees, if any, that are required to be paid to regulators with your submission.

(d) Submission fee summary screen

The system displays information regarding the fees payable to regulators in each province and territory in which you are making your submission as well as your firm's NRD account information. NRD user fees also apply to some submissions.

To print the fee summary for your records, click **Printable Page**, then use the Print function in your internet browser. Click **Continue**, then **Acknowledge** to confirm your acceptance of the fees listed.

(e) Certification Page

The system displays a screen with the provinces, territories and regulators to which your submission will be sent. This screen also includes statements to which you must attest.

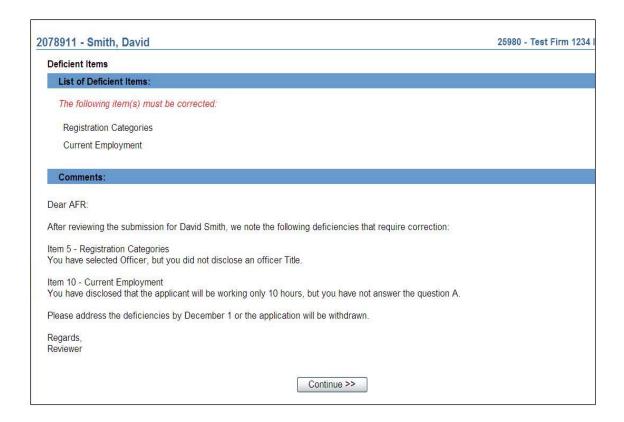
When you are ready, check the certification box and click **Send to Regulators**. The system sends the submission and displays your **Task Menu**. You can view the submission by clicking your **Sent to Regulators** tab on the main navigator.

18. Returned Registration in Additional Jurisdiction Submission:

The Regulator can return a deficient submission to you. Note that:

- (a) The system will assign a new submission number and the returned submission will be sent to the AFR's WIP list. Your WIP list will identify that the submission has been returned by the Regulator.
- (b) Only the principal regulator can return the submission.
- (c) When the submission is opened, the first page will identify the items that the regulators have indicated need to be changed. This page is not part of the Form 4 and will only show the deficiency details.

- (d) By clicking on 'Deficiencies' in the local navigator, the AFR can directly go to the page needed and view items in the submission that need to be changed. This read-only page will have the following sections:
 - List of deficient items
 - The deficiency comment
 - A **Continue** button to navigate to the first deficient item in the submission.



The AFR must go to each deficient item and make the required change before they can resubmit. The AFR can only change the items marked as deficient.