



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO REGISTER IN AN ADDITIONAL JURISDICTION

September 2009

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**.

33070 - Dargan Cataliers

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).

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Individual Information

Individual Identification

NRD No.: 2419151

Save & Continue >> Reset

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.

2419151 - Karpodini, Peter

Current Registration

Categories

JURISDICTION - Northwest Territories

Permitted Activities and Ultimate Designated Person

Officer

Ultimate Designated Person

Mutual Fund Dealer

Chief Compliance Officer

Dealing Representative

Continue >>

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.

Applying for Registration in Additional Jurisdictions - Item 5 - Registration Jurisdictions

1. Passport/Interface Selection

Are you filing this form under the passport system / interface for registration?

Only choose "no" if:

- (a) you are seeking registration only in your principal jurisdiction,
(b) you are seeking review as a permitted individual only in your principal jurisdiction

and you are not currently registered under securities legislation in any jurisdiction of Canada,

☒ Yes ☐ No

Jurisdictions Currently Registered in or Applying for Registration

Northwest Territories
Yukon

2. Jurisdictions

Check each jurisdiction where you are seeking registration or review as a permitted individual:

- ☒ Nunavut
☐ Ontario
☒ Prince Edward Island
☒ Quebec

OR

☐ All Jurisdictions

Save & Continue >>

Reset

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**.

Applying for Registration in Additional Jurisdictions - Item 6 - Individual Categories - All Jurisdictions

Schedule C

Categories

On Schedule C, check each category for which you are seeking registration as an individual or review as a permitted individual. If you are seeking review as a permitted individual, check each category that describes your position with your sponsoring firm.

Permitted Activities and Ultimate Designated Person

- ☒ Officer
☐ Director
☐ Partner
☐ Shareholder
☐ Ultimate Designated Person

Mutual Fund Dealer

- ☒ Dealing Representative
☐ Chief Compliance Officer
☐ Branch Manager (MFDA members only)

If 'Officer' is selected above,
indicate the title:

Officer

If 'Other' is selected above, specify:

Save & Continue >>

Reset

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.

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There are Firm Categories unique to individual jurisdictions that have not been selected via the Common Categories page: Prince Edward Island (Exempt Market Dealer)

You must select the Quebec hyperlink below to disclose your professional liability coverage.

Applying for Registration in Additional Jurisdictions - Item 6 - Individual Categories - Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Nunavut](#)
[Prince Edward Island](#)
[Quebec](#)

- (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**.

2419151 - Karpodini, Peter

Applying for Registration in Additional Jurisdictions - Item 6 - Individual Categories - Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Prince Edward Island](#)

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.

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Applying for Registration in Additional Jurisdictions - Item 6 - Individual Categories - Summary

Categories

JURISDICTION - Nunavut

Permitted Activities and Ultimate Designated Person

Officer

Ultimate Designated Person

Mutual Fund Dealer

Dealing Representative

Chief Compliance Officer

Officer Title: Officer

JURISDICTION - Prince Edward Island

Permitted Activities and Ultimate Designated Person

Officer

Ultimate Designated Person

Mutual Fund Dealer

Dealing Representative

Chief Compliance Officer

Officer Title: Officer

JURISDICTION - Quebec

Permitted Activities and Ultimate Designated Person

Officer

Ultimate Designated Person

Mutual Fund Dealer

Dealing Representative

Chief Compliance Officer

Officer Title: Officer

Are you covered by your sponsoring firm's professional liability insurance? Yes

If "No", state:

The name of your insurer:

Your policy number:

Continue >>

FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS

SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS

5

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.

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Applying for Registration in Additional Jurisdictions - Item 7 - Address and Agent for Service

Provinces or Territories

Click on a province or territory to provide address for service information:

Provinces or Territories

[Nunavut](#)
[Prince Edward Island](#)
[Quebec](#)

Continue >>

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**.

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Applying for Registration in Additional Jurisdictions - Item 7 - Address and Agent for Service - Quebec

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

NRD Location Number:

OR

Address Contains:

City:

Province/Territory: Quebec

Type of Location:

NRD No. of Supervisor:

Add Search Reset

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.

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Applying for Registration in Additional Jurisdictions - Item 7 - Address and Agent for Service - Quebec

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

NRD Location Number:

OR

Address Contains:

City:

Province/Territory:

Type of Location:

NRD No. of Supervisor:

Search Results

Showing Results: 1-1 of 1

NRD Location Number	Address Line 1	City	Province	Type of Location
559702	2000 Rue Sherbrooke	MONTREAL	Quebec	Address for Service

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

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Demande d'inscription dans d'autres territoires de compétence - Rubrique 7 - Domicile élu et mandataire aux fins de signification Québec

APPENDICE D

1. Domicile élu

Ligne 1 de l'adresse : 2000 Rue Sherbrooke
Ligne 2 de l'adresse : (le cas échéant)
Ville : MONTREAL
Province/territoire : Québec
Code postal : H3A 2J5
Pays : Canada
N° de téléphone : 555-555-0000 poste : (le cas échéant)
Télécopieur : (le cas échéant) 555-555-0000
Adresse électronique : (le cas échéant)

2. Mandataire aux fins de signification

Nom du mandataire aux fins de signification : Martin L.L.P. S.E.N.C.R.L.
Personne-ressource :
Nom de famille : Ducharme
Prénom : Ann

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.

2419151 - Karpodini, Peter

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Applying for Registration in Additional Jurisdictions - Item 7 - Address and Agent for Service - Prince Edward Island

Schedule D

1. 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 seeking to become, a registered individual or permitted individual. A post office box is not an acceptable address for service.

Address Line 1: 20 Queen St.

Address Line 2: (if applicable) Ste. 200

City: Charlottetown

Province/Territory: Prince Edward Island

Postal Code: C1A 8B9

Country: Canada

Telephone Number: 555-000-0000 ext.: (if applicable)

Fax number: (if applicable) 555-000-0000

E-Mail Address: (if available)

2. Agent for Service

If you have appointed an agent for service, provide the following information for the agent in each province or territory where you have an agent for service. The address of your agent for service must be the same as the address for service above. If your agent for service is not an individual, provide the name of your contact person.

Name of Agent for Service: Martin L.L.P. S.E.N.C.R.L.

Contact Person:

Last Name: Martin

First Name: Pauline

Cancel Save & Continue >> Reset

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.

2419151 - Karpodini, Peter

33070

Applying for Registration in Additional Jurisdictions - Confirm Permanent Record

Confirm Permanent Record

By checking the appropriate box, indicate whether you have any new information to disclose for the items listed below. If your information is up-to-date, select "Not-Applicable".

- ☐ 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

If you have selected any box other than "Not Applicable", you will be required to update your information immediately upon sending this submission to regulators. Not updating the information may result in a delay in the approval of this submission.

Upon completing this submission, you will be submitting 33-109F4 in its entirety to the regulators associated 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.

2078911 - Smith, David

25980 - Test Firm 1234

Deficient Items

List of Deficient Items:

The following item(s) must be corrected:

Registration Categories

Current Employment

Comments:

Dear AFR:

After reviewing the submission for David Smith, we note the following deficiencies that require correction:

Item 5 - Registration Categories
You have selected Officer, but you did not disclose an officer Title.

Item 10 - Current Employment
You have disclosed that the applicant will be working only 10 hours, but you have not answer the question A.

Please address the deficiencies by December 1 or the application will be withdrawn.

Regards,
Reviewer

Continue >>

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.