

NATIONAL REGISTRATION DATABASE (NRD $^{\text{TM}}$):

HOW TO REGISTER WITH AN ADDITIONAL SPONSORING FIRM

HOW TO REGISTER WITH AN ADDITIONAL SPONSORING FIRM

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

When is this submission type used?

Use this submission if an individual is with another firm and maintaining their registration with their current firm.

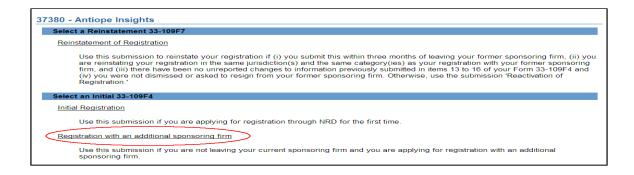
You should ensure that registration with more than one firm by an individual is permitted under applicable securities and commodity futures legislation prior to using this submission type.

Who can complete this submission?

An AFR for a firm registered in multiple jurisdictions may complete this submission.

How is this submission completed?

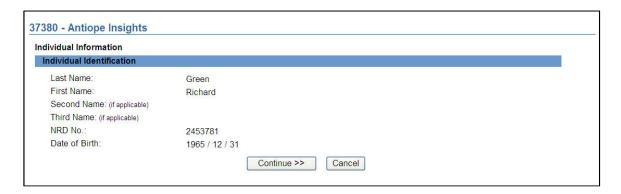
1. From the Main Navigation bar, select **Individual Submission.** Then click **Initial** on the list of Individual submission types, and then **Registration with an Additional Sponsoring Firm** on the list of Initial submission.



2. Identify the individual in the form presented by the system. Enter the person's NRD number, Last and First Legal Name, and exact date of birth, as recorded on NRD. When the form is complete, click **Save & Continue**.



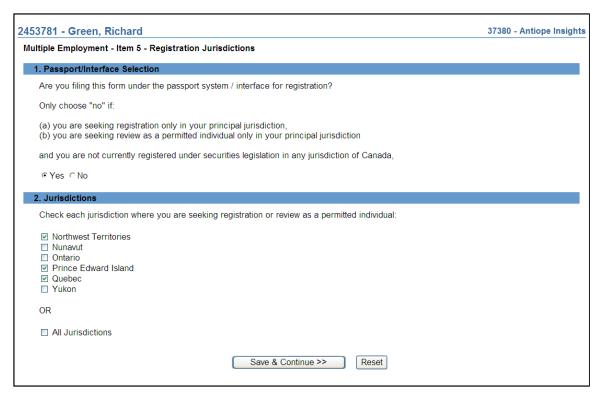
3. The system retrieves the individual corresponding to the data entered. If this is not the correct individual, click **Cancel** to execute a new search. Otherwise, click **Continue**.



4. The system displays the jurisdictions selection page.

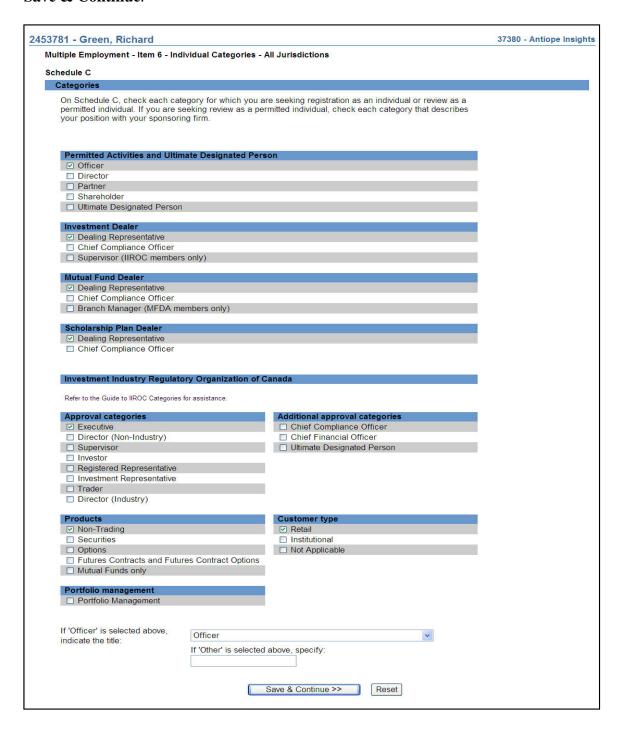
Answer 'yes' to the Passport/Interface question unless the individual is seeking registration to trade on behalf of a restricted dealer or to advise on behalf of a restricted portfolio manager.

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'.



Check the jurisdiction(s) in which you wish to register the individual, then click **Save & Continue.**

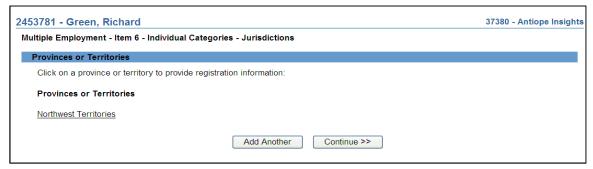
5. Complete the individual registration categories and the Address and Agent for service you are registering the individual. If you selected multiple jurisdictions or 'All Jurisdictions' the system will display **Item 6 – Individual Categories – All Jurisdictions**. Select the categories for which you are seeking registration and press **Save & Continue**.



- 6. The system displays a list of hyperlinks for all jurisdiction(s) selected in step 4. 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.
 - a) Click each one in turn to complete the individual categories and Address and Agent for Service for each jurisdiction. If you wish to alter the list by adding or removing jurisdictions from the list, click **Add Another** to display the checkbox list.
 - b) If you "deselect" a jurisdiction from the list prior to completing the submission, any data you entered for that jurisdiction is deleted. When you are ready press **Continue**.

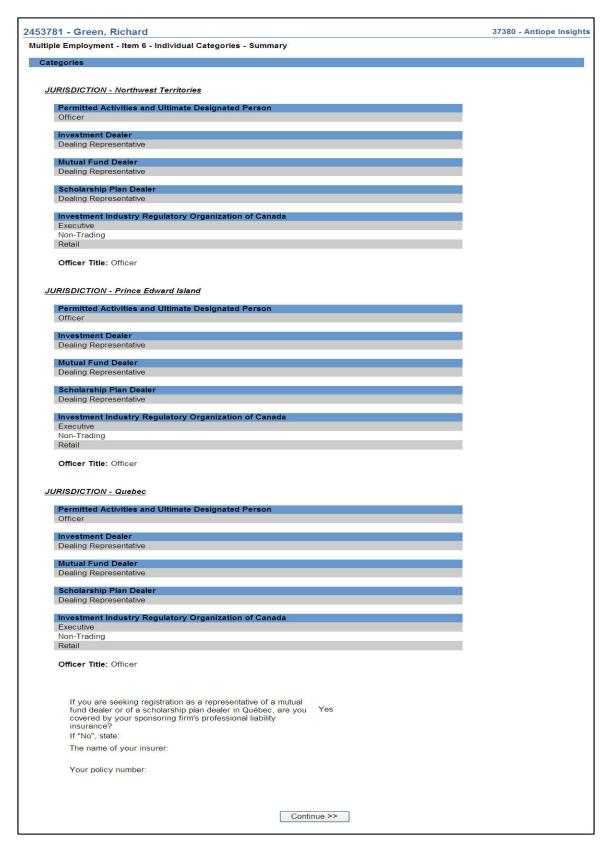


- c) If you select Quebec and are seeking registration as a representative for a Mutual Fund Dealer or Scholarship Plan Dealer, then complete the question related to Professional Liability Insurance.
- d) If applicable, the system displays a checkbox list of the individual IIROC approval categories. Select at least one category. When you are ready, click **Save & Continue**.
- 7. 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**.



When information for each jurisdiction is complete, click Continue.

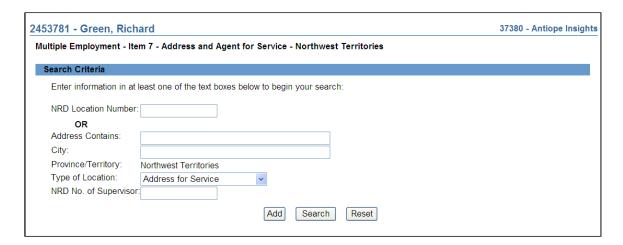
8. The system will display a summary of categories selected in all jurisdictions. Review the summary and press **Continue.**



9. 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.

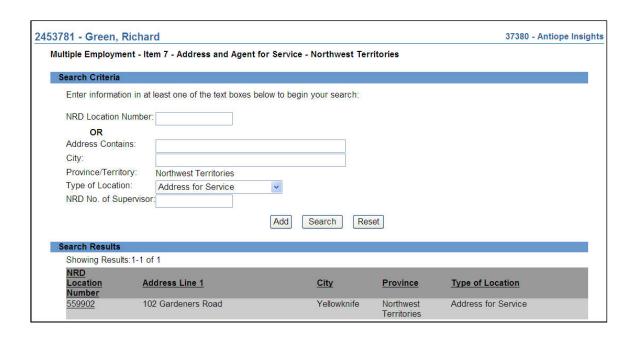


10. The system displays the Address for Service page. Use the 'Type of Location' drop down box to select the Address for Service location and then select **Search**.

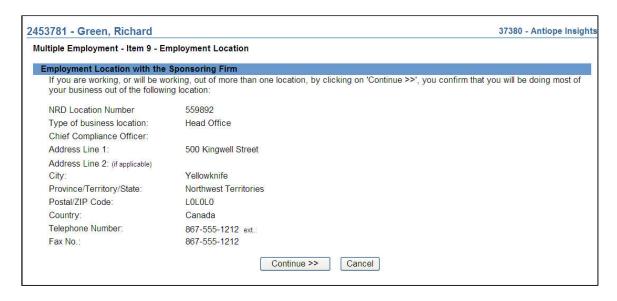


11. From the search results, select the location for the individual's Address for Service by clicking on the NRD location number hyperlink.

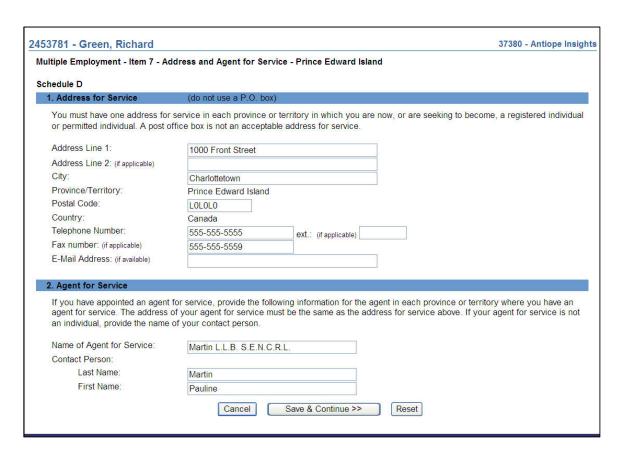
It is highly recommended to select the firm's Address for Service from the search results presented, since any future updates to those locations will automatically be reflected in the individual's permanent record without the need to file a notice.



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



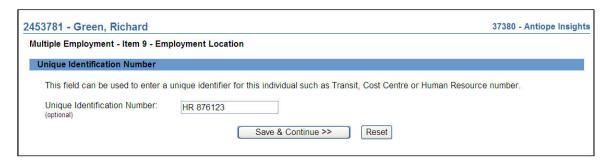
13. To manually add Address for Service information, select **Add** from the Search criteria page in step 11. Complete the information, including Agent for Service if appropriate. Click **Save & Continue**.



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.

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

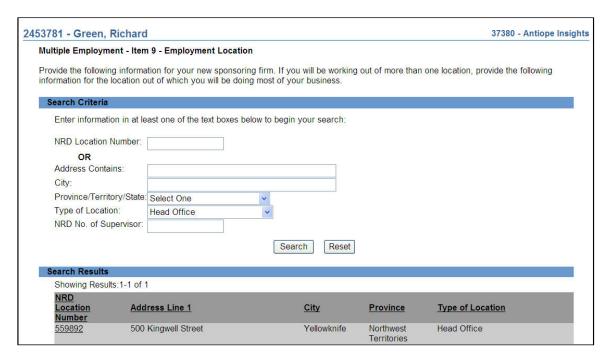
14. The system displays **Item 9 – Employment Location** "Unique Identification Number" for entry of a new ID Number. The field is exclusively for firm use, and may be used to record Cost Centre number, Human Resource number or any other unique identifier for the individual. Enter the information if applicable and press **Save & Continue.**



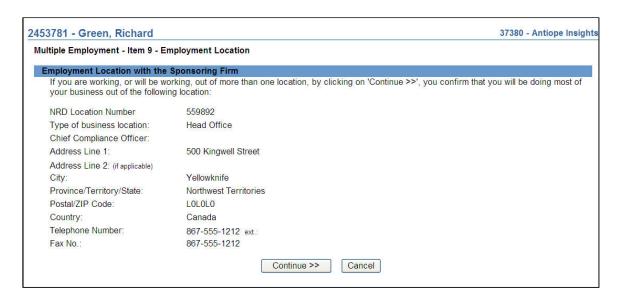
15. A search form is displayed to retrieve information on the business location of the individual's employment. A location of employment is a branch, sub-branch or the Head Office of the firm. The location must be in a jurisdiction in which you are registering the individual and should be the location from which the individual works most of the time. You may search by location NRD number, elements of the address, jurisdiction or supervisor NRD number. To search for Head Office use NRD Number or Type of Location only.

(B) (170)	9 - Employment I	Location					
ovide the following information rmation for the location out					of more than one	location, provide the following	
earch Criteria							· ·
Enter information in at leas	st one of the text I	ooxes below t	o begin your se	arch:			
NRD Location Number:		7					
OR							
Address Contains:							
City:							
Province/Territory/State: S	Select One	~					
Type of Location:	Head Office	,					
NRD No. of Supervisor:		1					

16. When you are ready, click **Search**. The system retrieves a list of active locations in the selected jurisdiction, according to your search criteria.



17. Select the correct location by clicking its NRD number. The system displays the location information on record. Ensure that this is the correct location and click **Continue** to confirm this location of employment for the individual. If this is not the correct location, click **Cancel** to execute a new location search. Otherwise, click **Continue**.



- (a) If the individual resides outside Canada, select your firm's Head Office as the location of employment.
- (b) If the Head Office is outside Canada, the applicant must provide additional contact information for their employment location on the screen listing the Head Office.
- 18. The system displays **Item 10 Current employment, other business activities, officer positions held and directorships** with a list of hyperlinks to select the individual's last place of employment prior to reinstatement. Click on the appropriate name to update the information.



19. To add a current employment record for your firm, click **Add Another**. The system displays **Item 10 – Current employment, other business activities, officer positions held and directorships.** The system will display a blank Employment Information form for entry of the current employment information. Enter the Start Date at the additional sponsoring firm in the **From** field and leave **To date** blank.

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ıltiple Employment - Item 10 - Cu	rrent Employment
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Employment Information	
	for each of your current business and employment activities with your sponsoring firm and with all other business related officer or director positions held, or any other equivalent positions held, whether you receive
1. Start Date	
From: 2009 / 09 / 09 To: / /	(YYYY/MM/DD) (YYYY/MM/DD)
2. Firm information	
Name of Immediate Supervisor:	
Last Name:	Davis
First Name:	Judith
Title of Immediate Supervisor:	CIO
indicate the firm name and addre	pox above, the legal name and business address of the sponsoring firm will be automatically populated
Name of Business or Employer:	Antiope Insights
Address of Business or Employe	r.
Address Line 1:	500 Kingwell Street
Address Line 2: (if applicable	
City:	Yellowknife
Province/Territory/State:	Northwest Territories •
Country:	Canada

(a) An individual registrant who is a President, CEO or Managing Partner may disclose that they report to the Board of Directors. Under "Name and Title of Immediate Supervisor", type the following:

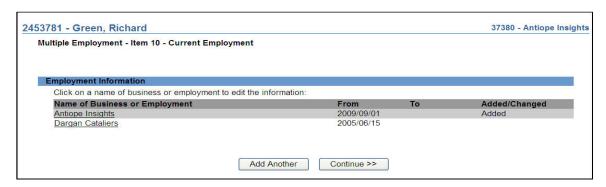
• Last Name: "N/A"

- First Name: "N/A"
- Title of Immediate Supervisor: "governing body", e.g Board of Directors; partnership.
- (b) In the "Address of business or employer" type the Head Office address of the sponsoring firm.
- (c) When recording Current Employment for individuals not hired until date of approval, or in the case of "conditional" offers of employment, fill out all the fields as if the individual were employed, using anticipated hours and duties once registered. Use the date of the application as the "from" date to indicate the start of employment.
- (d) The terms of offer of employment can be included in the "Description of duties" text box field e.g. "offer of employment subject to approval of registration".

- (e) Each employment entry must be treated separately. Enter the full record describing the employment details of one employer and selecting "add another" to enter another full record for the next employer.
- (f) Record other business activities (e.g. directorships, other professional activities, part-time jobs, etc.) under Current Employment an individual could have more than one "current employment" entry on NRD. If you have more than one current employment entry to make, click Add Another at the bottom of the screen after completing the form for the first entry. When you are ready, click Save & Continue.

Complete the form as directed and click **Save & Continue** or **Add Another** (if you wish to disclose additional **current** employment items).

20. The system presents the Current Employment list page, with the ADDED/CHANGED COLUMN updated.



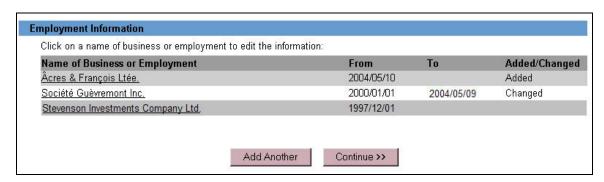
ADDED/CHANGED COLUMN – This column serves to flag records that have been either newly added during the course of the submission or retrieved from the Permanent Record and changed during the course of the submission.

In the following example, a new employment record has been added, and is marked "Added". Also a record that was retrieved from the Permanent Record as part of the submission has been opened by clicking the business name hyperlink, and edited. It is marked "Changed".

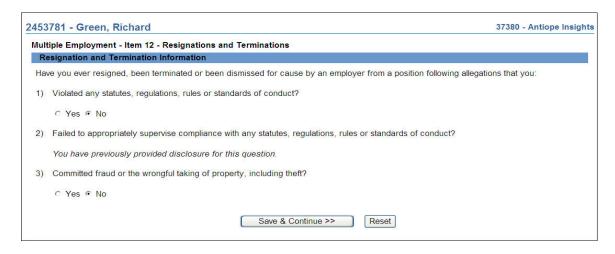
[Note: "Added" records can also be deleted from a submission. Records drawn from the Permanent Record cannot be deleted, only edited.]



If you enter an end-date on a Current Employment record the current employment list will still contain the end-dated record. Once the submission is approved, the end-dated record will be found on the Previous Employment list in the Permanent Record.



21. Complete the Current Employment information and click **Continue** on the Current Employment list page, to display the **Resignations and Terminations** disclosure questions. The answers are copied from the individual's Permanent Record. Update each question appropriately. A "Yes" answer cannot be changed to a "No". However, additional disclosure information can be added to a question that was already answered "Yes".

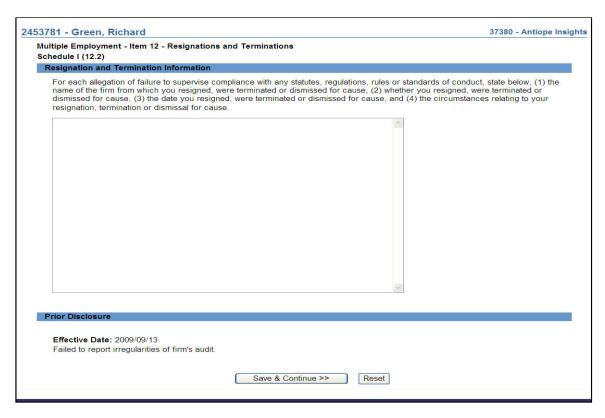


The system displays the screen for **Item 12** with information from the individual's permanent record. If the individual answered "Yes" to a disclosure question prior to termination with the previous sponsoring firm, the answer will be stated in Italics. An answer that was previously answered "No" can now be changed to "Yes". Press **Save & Continue** and the system will walk you through each question and provide a form for entry of the information.

If you answered "Yes" to a question which was previously "No", the system will display a screen with the disclosure question hyperlink. Click on the link to provide a detailed response.



22. If a question was previously answered "Yes", the form will display the previous disclosure at the bottom of the screen and provide a text box to add new disclosure details.



If you are updating disclosure information press **Save & Continue**. Otherwise if prior disclosure information is still current then select another item on the local navigator bar to go to continue with the submission.

23. The system asks you to confirm that the Permanent Record has current information for Regulatory, Criminal, Civil, Financial and Related Securities Firms disclosure. If all disclosure is up-to-date, check the "Not Applicable" box and click **Continue** to begin the **Complete Submission** process.

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ultiple Employment - 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	

24. **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.

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

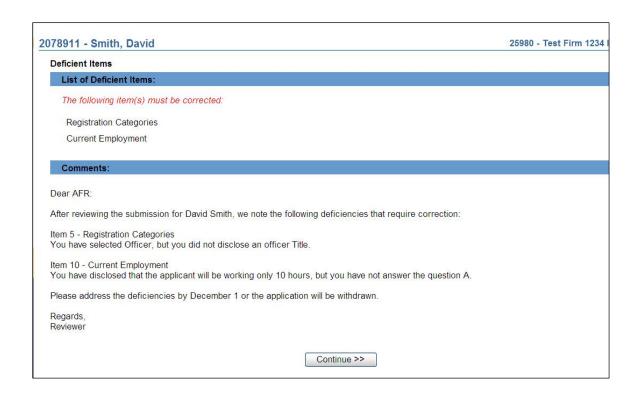
The system displays a screen with the provinces, territories and regulators to which your submission will be sent. This screen also includes statements to which you must attest.

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.

25. Returned 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.