



NATIONAL REGISTRATION DATABASE (NRD™) :

**HOW TO REGISTER WITH AN
ADDITIONAL SPONSORING FIRM**

September 2009

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.

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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.

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**.

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Individual Information

Individual Identification

NRD No.: 2453781

Last Name: Green

First Name: Richard

Date of Birth: 1965 / 12 / 31 (YYYY/MM/DD)

Save & Continue >> Reset

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**.

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Individual Information

Individual Identification

Last Name:	Green
First Name:	Richard
Second Name: (if applicable)	
Third Name: (if applicable)	
NRD No.:	2453781
Date of Birth:	1965 / 12 / 31

Continue >>

Cancel

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'.

2453781 - Green, Richard37380 - Antiope Insights

Multiple Employment - 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

2. Jurisdictions

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

☒ Northwest Territories
☐ Nunavut
☐ Ontario
☒ Prince Edward Island
☒ Quebec
☐ Yukon

OR

☐ All Jurisdictions

Save & Continue >>

Reset

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**.

2453781 - Green, Richard

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Multiple Employment - 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

Investment Dealer
☒ Dealing Representative
☐ Chief Compliance Officer
☐ Supervisor (IIROC members only)

Mutual Fund Dealer
☒ Dealing Representative
☐ Chief Compliance Officer
☐ Branch Manager (MFDA members only)

Scholarship Plan Dealer
☒ Dealing Representative
☐ Chief Compliance Officer

Investment Industry Regulatory Organization of Canada

Refer to the Guide to IIROC Categories for assistance.

Approval categories
☒ Executive
☐ Director (Non-Industry)
☐ Supervisor
☐ Investor
☐ Registered Representative
☐ Investment Representative
☐ Trader
☐ Director (Industry)

Additional approval categories
☐ Chief Compliance Officer
☐ Chief Financial Officer
☐ Ultimate Designated Person

Products
☒ Non-Trading
☐ Securities
☐ Options
☐ Futures Contracts and Futures Contract Options
☐ Mutual Funds only

Customer type
☒ Retail
☐ Institutional
☐ Not Applicable

Portfolio management
☐ Portfolio Management

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

Officer

If 'Other' is selected above, specify:

Save & Continue >>

Reset

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**.

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

Multiple Employment - Item 6 - Individual Categories - Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)
[Prince Edward Island](#)
[Quebec](#)

Add Another 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**.

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Multiple Employment - Item 6 - Individual Categories - Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)

Add Another 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**.

2453781 - Green, Richard

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Multiple Employment - Item 6 - Individual Categories - Summary

Categories

JURISDICTION - Northwest Territories

Permitted Activities and Ultimate Designated Person

Officer

Investment Dealer

Dealing Representative

Mutual Fund Dealer

Dealing Representative

Scholarship Plan Dealer

Dealing Representative

Investment Industry Regulatory Organization of Canada

Executive

Non-Trading

Retail

Officer Title: Officer

JURISDICTION - Prince Edward Island

Permitted Activities and Ultimate Designated Person

Officer

Investment Dealer

Dealing Representative

Mutual Fund Dealer

Dealing Representative

Scholarship Plan Dealer

Dealing Representative

Investment Industry Regulatory Organization of Canada

Executive

Non-Trading

Retail

Officer Title: Officer

JURISDICTION - Quebec

Permitted Activities and Ultimate Designated Person

Officer

Investment Dealer

Dealing Representative

Mutual Fund Dealer

Dealing Representative

Scholarship Plan Dealer

Dealing Representative

Investment Industry Regulatory Organization of Canada

Executive

Non-Trading

Retail

Officer Title: Officer

If you are seeking registration as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your sponsoring firm's professional liability insurance? Yes

If "No", state:

The name of your insurer:

Your policy number:

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.

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Multiple Employment - Item 7 - Address and Agent for Service

Provinces or Territories

You must have one address for service in each province or territory where you are submitting this form. A residential address or a business address is acceptable. A post office box is not acceptable. Complete Schedule D for each additional address for service you are providing.

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

Provinces or Territories

[Northwest Territories](#)
[Prince Edward Island](#)
[Quebec](#)

[Continue >>](#)

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**.

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Multiple Employment - Item 7 - Address and Agent for Service - Northwest Territories

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:

[Add](#) [Search](#) [Reset](#)

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.

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Multiple Employment - Item 7 - Address and Agent for Service - Northwest Territories

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: Northwest Territories

Type of Location: Address for Service

NRD No. of Supervisor:

Search Results

Showing Results: 1-1 of 1

NRD Location Number	Address Line 1	City	Province	Type of Location
559902	102 Gardeners Road	Yellowknife	Northwest Territories	Address for Service

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

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Multiple Employment - Item 9 - Employment Location

Employment Location with the Sponsoring Firm

If you are working, or will be working, out of more than one location, by clicking on 'Continue >>', you confirm that you will be doing most of your business out of the following location:

NRD Location Number: 559892

Type of business location: Head Office

Chief Compliance Officer:

Address Line 1: 500 Kingwell Street

Address Line 2: (if applicable)

City: Yellowknife

Province/Territory/State: Northwest Territories

Postal/ZIP Code: L0L0L0

Country: Canada

Telephone Number: 867-555-1212 ext.:

Fax No.: 867-555-1212

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**.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - 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:

Address Line 2: (if applicable)

City:

Province/Territory:

Postal Code:

Country:

Telephone Number: ext.: (if applicable)

Fax number: (if applicable)

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:

Contact Person:

 Last Name:

 First Name:

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**.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 9 - Employment Location

Unique Identification Number

This field can be used to enter a unique identifier for this individual such as Transit, Cost Centre or Human Resource number.

Unique Identification Number: (optional)

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.

2453781 - Green, Richard37380 - Antiope Insights

Multiple Employment - Item 9 - Employment Location

Provide the following information for your new sponsoring firm. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.

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/State:

Type of Location:

NRD No. of Supervisor:

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

2453781 - Green, Richard37380 - Antiope Insights

Multiple Employment - Item 9 - Employment Location

Provide the following information for your new sponsoring firm. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.

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/State:

Type of Location:

NRD No. of Supervisor:

Search Results

Showing Results:1-1 of 1

<u>NRD Location Number</u>	<u>Address Line 1</u>	<u>City</u>	<u>Province</u>	<u>Type of Location</u>
559892	500 Kingwell Street	Yellowknife	Northwest Territories	Head Office

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**.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 9 - Employment Location

Employment Location with the Sponsoring Firm

If you are working, or will be working, out of more than one location, by clicking on 'Continue >>', you confirm that you will be doing most of your business out of the following location:

NRD Location Number	559892
Type of business location:	Head Office
Chief Compliance Officer:	
Address Line 1:	500 Kingwell Street
Address Line 2: (if applicable)	
City:	Yellowknife
Province/Territory/State:	Northwest Territories
Postal/ZIP Code:	L0L0L0
Country:	Canada
Telephone Number:	867-555-1212 ext.:
Fax No.:	867-555-1212

- (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.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 10 - Current Employment

Employment Information

Click on a name of business or employment to edit the information:

Name of Business or Employment	From	To	Added/Changed
Dargan Cataliers	2005/06/15		

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.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 10 - Current Employment

Schedule G

Employment Information

Complete a separate Schedule G for each of your current business and employment activities with your sponsoring firm and with all other organizations. This includes any business related officer or director positions held, or any other equivalent positions held, whether you receive compensation or not.

1. Start Date

From: 2009 / 09 / 01 (YYYY/MM/DD)
 To: / / (YYYY/MM/DD)

2. Firm information

Name of Immediate Supervisor:

Last Name: Davis
 First Name: Judith

Title of Immediate Supervisor: CIO

☐ Check here if this activity is employment with your sponsoring firm. If the activity is with your sponsoring firm, you are not required to indicate the firm name and address information below:
If you have selected the check box above, the legal name and business address of the sponsoring firm will be automatically populated upon clicking 'Save & Continue'.

Name of Business or Employer: Antiope Insights
 Address of Business or Employer:

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.

2453781 - Green, Richard
37380 - Antiope Insights

Multiple Employment - Item 10 - Current Employment

Employment Information
 Click on a name of business or employment to edit the information:

Name of Business or Employment	From	To	Added/Changed
Antiope Insights	2009/09/01		Added
Dargan Cataliers	2005/06/15		

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.]

2453781 - Green, Richard
37380 - Antiope Insights

Multiple Employment - Item 10 - Current Employment

Employment Information
 Click on a name of business or employment to edit the information:

Name of Business or Employment	From	To	Added/Changed
Antiope Insights	2009/09/01		Added
Dargan Cataliers	2005/06/15		Changed

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.

Employment Information			
Click on a name of business or employment to edit the information:			
Name of Business or Employment	From	To	Added/Changed
Âcres & François Ltée.	2004/05/10		Added
Société Guèvremont Inc.	2000/01/01	2004/05/09	Changed
Stevenson Investments Company Ltd.	1997/12/01		
Add Another		Continue >>	

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".

2453781 - Green, Richard	37380 - Antiope Insights
Multiple Employment - Item 12 - Resignations and Terminations	
Resignation and Termination Information	
Have you ever resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:	
1) Violated any statutes, regulations, rules or standards of conduct?	
<input type="radio"/> Yes <input checked="" type="radio"/> No	
2) Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?	
<i>You have previously provided disclosure for this question.</i>	
3) Committed fraud or the wrongful taking of property, including theft?	
<input type="radio"/> Yes <input checked="" type="radio"/> No	
Save & Continue >>	
Reset	

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.

This screenshot shows the 'Resignation and Termination Information' section of a form for Richard Green (ID: 2453781). The header includes the user's name and ID, and the page number 37380 - Antiope Insights. The main title is 'Multiple Employment - Item 12 - Resignations and Terminations Schedule I'. Below this is a blue bar with the section title 'Resignation and Termination Information'. The instructions state: 'Click on each question below to provide the disclosure for that question:'. A question is listed: 'Have you ever resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:'. Below this is a link for '12.2) Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?'. At the bottom is a 'Continue >>' button.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 12 - Resignations and Terminations
Schedule I

Resignation and Termination Information

Click on each question below to provide the disclosure for that question:

Have you ever resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:

12.2) [Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?](#)

Continue >>

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.

This screenshot shows the same 'Resignation and Termination Information' section, but with a large text box for providing details. The instructions are: 'For each allegation of failure to supervise compliance with any statutes, regulations, rules or standards of conduct, state below, (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.' Below the text box is a blue bar with the section title 'Prior Disclosure'. Under this bar, the 'Effective Date' is listed as '2009/09/13' and the disclosure is 'Failed to report irregularities of firm's audit.' At the bottom are 'Save & Continue >>' and 'Reset' buttons.

2453781 - Green, Richard 37380 - Antiope Insights

Multiple Employment - Item 12 - Resignations and Terminations
Schedule I (12.2)

Resignation and Termination Information

For each allegation of failure to supervise compliance with any statutes, regulations, rules or standards of conduct, state below, (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

Prior Disclosure

Effective Date: 2009/09/13
Failed to report irregularities of firm's audit.

Save & Continue >> Reset

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.

The screenshot shows a web form titled "2453781 - Green, Richard" with a sub-header "37380 - Antiope Insights". The main heading is "Multiple Employment - Confirm Permanent Record". Below this is a blue bar with the text "Confirm Permanent Record". The instructions state: "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'." There are six checkboxes: "Regulatory Disclosure (Item 13)", "Criminal Disclosure (Item 14)", "Civil Disclosure (Item 15)", "Financial Disclosure (Item 16)", "Ownership of Securities and Derivatives Firms (Item 17)", and "Not Applicable". A note below the checkboxes says: "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." At the bottom, it states: "Upon completing this submission, you will be submitting 33-109F4 in its entirety to the regulators associated with this submission." There are two buttons at the bottom right: "Continue >>" and "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.

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.