



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO MAKE AN INITIAL APPLICATION

July 2011

HOW TO MAKE AN INITIAL APPLICATION

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

When is this submission type used?

Use this submission type if you are applying for the registration of an individual through NRD for the first time.

Who can complete this submission?

An AFR for a firm or an Individual Applicant 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 **Initial Registration** on the list of Initial submissions.

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

2. Select either “**Individual Applicant**” or “**Authorized Firm Representative**”. If you are acting as an AFR for your firm, and are the individual seeking registration, select “**Authorized Firm Representative**”. If you select:
 - (a) “**Individual Applicant**” the system will generate a new User ID and password for the individual who will be completing her/his own registration. The system will display a confirmation page with the new User ID and a password which should

be printed and retained for the initial login to the system. The individual will be able to complete her/his own registration up to the Complete Submission process.

The submission will then be returned to the AFR who established the individual's login ID. If necessary, the AFR may re-assign the submission to the individual to revise or provide further information on the submission. To re-assign a submission, the AFR clicks **Re-assign** on the local navigator of the submission and types the individual's user ID in the text box provided.

[**Note:** The individual applicant does not send the submission to regulators; only an AFR has such authorization. Once the AFR has sent the submission to regulators, the individual's user ID and password are revoked automatically and s/he no longer has access to the system.]

- (b) “**Authorized Firm Representative**” the system presents the form to create an Individual on the system.
3. Enter the current legal last and first name, second and third name (if applicable), and birth date of the individual. When you are ready, click **Save & Continue**.

33070 - Dargan Cataliers

Create Individual

Individual Information

Last Name: Martin

First Name: Jean

Second Name: (if applicable)

Third Name: (if applicable)

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

Save & Continue >> Reset

- (a) If you selected **Individual Applicant** in step 2 then the system will display the confirmation of the new User Id and password. Press **Printable Page** and the confirmation page will be reformatted for printing. Print the confirmation from your browser and retain the page. Press **Continue** to save the incomplete submission. You will be returned to main menu of NRD. You can now login with the new User ID and password provided in the confirmation page to complete the submission up to the Complete Submission process.
- (b) If you selected “Authorized Firm Representative” in step 2 then the system will display the General Instruction page and the local navigator for completion of the submission.

The system validates the information entered, and generates an NRD number for the individual. The individual's NRD number and name will appear at the top of every screen in the submission. Once the submission is saved you may leave the submission or

logoff the system without losing the submission. You may retrieve it from your **Work in Progress** to resume updating the application at any time.

Using the local navigator, you may navigate to any item of the submission. You must complete **Item 2 – current Residential Address** information before **Item 9 – Location of Employment**.

When you retrieve a submission from **Work in Progress**, the items that were completed as of the last save will be checked off in the local navigator.

4. Provide Legal Name information

The screenshot shows a web form titled "2427151 - Martin, Jean" with a sub-header "33070 - Dargan Cataliers". The form is for "Item 1 - Name" and is divided into three sections:

- 1. Legal name**: Contains input fields for "Last Name:" (filled with "Martin"), "First Name:" (filled with "Jean"), "Second Name:" (with "N/A" and a checked checkbox), and "Third Name:" (with "N/A" and a checked checkbox).
- 2. Other personal names**: Asks "Are you currently, or have you ever been, known by any names other than your full legal name above, for example, nicknames or names due to marriage?" with radio buttons for "Yes" and "No".
- 3. Use of other names**: Asks "Are you currently, or have you ever used, operated under, or carried on business under any name other than the name(s) mentioned above, for example, trade names for sole proprietorships or team names?" with radio buttons for "Yes" and "No".

At the bottom of the form are two buttons: "Save & Continue >>" and "Reset".

Item 1 – Name – Verify that the legal name you entered is complete and correct. Also, you must answer yes or no to the question of whether the individual is or has been known under another name. When you are ready, click **Save & Continue**.

You must enter the applicant’s LEGAL name here including 2nd and 3rd names. If there is no 2nd and/or 3rd name then you must check N/A (not applicable) box at left of the blank field. Aliases, for example, anglicized names for common usage, should be disclosed in the “Other Names” section.

If you answer “No”, the system will proceed to Item 2 – Residential Address. If you answer “Yes”, the system will display a page with two hyperlinks.

This screenshot shows the "Other Names" section of the form. It includes the text "Click on each section below to complete the schedule." followed by two hyperlinks: "2. Other personal names" and "3. Use of other names". A "Continue >>" button is located at the bottom of the section.

5. Select the first link **2. Other personal names** to disclose other personal names such as previous legal names or nicknames.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 1 - Name
Schedule A

2. Other personal names Delete

Last Name:
 First Name:
 Second Name: N/A
 Third Name: N/A

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)?
 Previous Legal Name

When did you use this name?
 From: / (YYYY/MM)
 To: / (YYYY/MM)

- (a) Complete the form including the “Other personal name”, the reason for the use of that “other personal name” and the effective date(s) for the use of the other name(s).
- (b) If the name is still currently in use, no end date is required. Both start and end dates must be past or current dates, and the start date may not be greater than the end date.
- (c) If there is more than one “Other personal name” to disclose, you may click **Add Another** to complete the form for each of these names. To continue to the next section of the submission, click **Save & Continue**. The system will display a summary list of the other names, both past and current.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 1 - Name
Schedule A

2. Other personal names

Click on a name to edit information submitted:

Name	From	To
Martineau, Jean	1965/12	1983/12

(d) Press **Continue** and the page to select “Other Names” schedules will be presented.

6. Select the second link **3. Use of other names** to disclose other names used in business such as team names or trade names.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 1 - Name

Schedule A

3. Use of other names Delete

Name:

Provide the reasons for the use of this other name (for example, trade name or team name)?

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes No N/A

When did you use this name?

From / (YYYY/MM)

To / (YYYY/MM)

- (a) Complete the form including the “other name”, the reason for the use of that “other name” and the effective date(s) for the use of the other name(s).
- (b) If the name is still currently in use, no end date is required. Both start and end dates must be past or current dates, and the start date may not be greater than the end date.
- (c) If there is more than one “other name” to disclose, you may click Add Another to complete the form for each of these names. To continue to the next section of the submission, click **Save & Continue**. The system will display a summary list of the other names, both past and current.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 1 - Name

Schedule A

3. Use of other names

Click on a name to edit information submitted:

Name	From	To
Voyageurs	2000/12	2005/12

- (d) Press **Continue** and the page to select Other Names schedule will be presented.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 1 - Name
Schedule A
Other Names

Click on each section below to complete the schedule.

[2. Other personal names](#)
[3. Use of other names](#)

- (e) When you are ready to proceed, select **Continue** on the Other Names page or click Residential Address on the local navigator.

7. The system displays **Item 2 – Residential Address**. You are required to provide a continuous record of residence (whether foreign or domestic) for the past 10 years. You may provide information beyond the 10-year requirement if desired, but no date gaps are permitted.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 2 - Residential Address
Schedule B
1. Current and previous residential addresses

Provide all of your residential addresses, including any foreign residential addresses, for the past 10 years.
You do not have to include a postal code or ZIP code, or a telephone number for any previous address.

Address Line 1:
Address Line 2: (if applicable)
City:
Province/Territory/State:
Postal/ZIP Code:
Country:
Telephone No.:

When did you live at this address?

From: / (YYYY/MM)
To: (if applicable) / (YYYY/MM)

2. Mailing address

Check here if your mailing address is the same as your current residential address provided above. Otherwise, complete the following:

Address Line 1:
Address Line 2: (if applicable)
City:
Province/Territory/State:
Postal/ZIP Code:
Country:

Complete the form according to the instructions on the screen, including effective dates.

You must enter the applicant's current address first. To indicate the current address, do not enter a "To" date.

You must not enter two current addresses. If the applicant maintains more than one current residence, you should list as current the residence at which they spend more time. Consult the regulator if you are not sure which address to provide.

To make additional address entries, click **Add Another**. To proceed, click **Save & Continue**.

8. When you click **Save & Continue**, the system displays a summary of the address entries made.

The screenshot shows a web interface for '2427151 - Martin, Jean' with a reference number '33070 - Dargan Cataliers'. The section is titled 'Item 2 - Residential Address' and 'Current and Previous Addresses'. It includes a table with columns: Addresses, City, Phone, From, To, and Added/Changed. Two addresses are listed: '4800 Franklin Ave' and '4900 50 Ave'. Below the table are buttons for 'Add Another' and 'Continue >>'.

Addresses	City	Phone	From	To	Added/Changed
4800 Franklin Ave	Yellowknife	867-873-0001	2005/12		Added
4900 50 Ave	Yellowknife	867-873-0000	1999/06	2005/12	Added

If you wish to delete or edit any entries, click the address line of the entry. The address information can then be edited, or the entry deleted by checking the **Delete** box that will appear near the upper right corner of the screen. After editing the entry or checking the **Delete** box, click **Save & Continue** to return to the summary. If you checked the **Delete** box, the entry will no longer appear on the summary. When you are ready, click **Continue**.

9. The system displays **Item 3 – Personal Information**. Verify the date of birth originally entered at the beginning of the submission and complete the remaining fields.

The screenshot shows a web interface for '2427151 - Martin, Jean' with a reference number '33070 - Dargan Cataliers'. The section is titled 'Item 3 - Personal Information' and 'Personal Description'. It contains a form with the following fields: Date of Birth (1965/12/31), Place of Birth (City: Inuvik, Province/Territory/State: Northwest Territories, Country: Canada), Gender (Female/Male), Eye colour (brown), Hair colour (black), Height (72 inches), and Weight (160 lbs). Buttons for 'Save & Continue >>' and 'Reset' are at the bottom.

When you are ready, click **Save & Continue**.

10. The system displays **Item 4 – Citizenship**. Complete the form as required. If the individual is Canadian, you need only check off the “Canada” check box. For all other nationalities, complete the fields as indicated.

2423371 - Judith, Davis 33070 - Dargan Cataliers

Item 4 - Citizenship

1. Citizenship Information

What is your country of citizenship?

Canada
 Other, specify:

If you are a citizen of a country other than Canada, complete the following for that citizenship.

Check here if you do not have a valid passport. Otherwise, provide:

Passport Number:

Date of Issue: / / (YYYY/MM/DD)

Place of Issue:
City:

Province/Territory/State:

Country:

If the individual **does not have a valid passport** from her/his own country, then select the checkbox to indicate this. If the individual does have a valid passport complete the relevant fields in the screen below.

If the individual is a dual citizen complete the item for the citizenship in which they have the greatest connection.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 4 - Citizenship

1. Citizenship Information

What is your country of citizenship?

Canada
 Other, specify:

If you are a citizen of a country other than Canada, complete the following for that citizenship.

Check here if you do not have a valid passport. Otherwise, provide:

Passport Number:

Date of Issue: / / (YYYY/MM/DD)

Place of Issue:
City:

Province/Territory/State:

Country:

Canadian applicants with dual citizenship can indicate both Canadian and one other nationality by checking both the “Canada” and “Other” boxes, and completing the Other citizenship information.

When you are ready, click **Save & Continue**.

11. The system displays the jurisdictions selection page.

Answer ‘yes’ to the Passport/Interface question unless the individual is seeking registration or approval only in his/her Principal Jurisdiction. 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’.

The screenshot shows a web form titled "2427151 - Martin, Jean" with a user ID "33070 - Dargan Cataliers". The form is for "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

Buttons: Save & Continue >> and Reset

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

If you only selected one jurisdiction in step 11, please proceed to step 13.

12. If you selected multiple jurisdictions in step 11, 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**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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 individual is:

(a) a director, chief executive officer, chief financial officer, or chief operating officer of a firm, or who performs the functional equivalent of any of those positions, or

(b) an individual who has beneficial ownership of, or direct or indirect control or direction over, 10 percent or more of the voting securities of a firm.

Permitted Individuals

Officer

Director

Partner

Shareholder

Ultimate Designated Person

Ultimate Designated Person

Mutual Fund Dealer

Dealing Representative

Chief Compliance Officer

Branch Manager (MFDA members only)

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

If 'Other' is selected above, specify:

13. The system presents a hyperlink list of the jurisdiction(s) selected in step 11.

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.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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.

Item 6 - Individual Categories

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)

[Nunavut](#)

[Prince Edward Island](#)

[Quebec](#)

If you select Quebec and are seeking registration as a Dealing Representative for a Mutual Fund Dealer or Scholarship Plan Dealer, then complete the question related to Professional Liability Insurance.

If the individual is an Officer of any kind, an Officer title must be selected from the drop-down list at the bottom of the screen. If “Other” is selected, type the Officer’s title in the field provided. When the categories selection is complete, click **Save & Continue** at the bottom of the screen.

For IIROC firms - when you select an IIROC category, the system will display a page listing the IIROC approval categories available. Check off the appropriate IIROC individual approval categories and click **Save & Continue**.

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**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 6 - Individual Categories

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Prince Edward Island](#)

Add Another Continue >>

14. When information for each jurisdiction is complete, click **Continue**.

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

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 6 - Individual Categories - Summary

Categories

JURISDICTION - Northwest Territories

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Officer Title: Officer

JURISDICTION - Nunavut

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Officer Title: Officer

JURISDICTION - Prince Edward Island

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

Officer Title: Officer

JURISDICTION - Quebec

Permitted Individuals
Officer

Mutual Fund Dealer
Dealing Representative

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:

16. 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.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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

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

17. 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**.

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.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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:

NRD No. of Supervisor:

- Branch or Business Location
- Head Office
- Address for Service**
- Sub-Branch

18. The system displays the search results. Select the location for the individual's Address for Service by clicking on the NRD location number hyperlink.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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:

NRD No. of Supervisor:

Search Results

Showing Results: 1-1 of 1

NRD Location Number	Address Line 1	City	Province	Type of Location
553102	1 Forest Avenue	Yellowknife	Northwest Territories	Address for Service

19. The system displays the information for the location that is the individual's Address for Service. Review the information for the location then click **Continue**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 7 - Address and Agent for Service - Northwest Territories

Schedule D

1. Address for Service

Address Line 1: 1 Forest Avenue

Address Line 2: (if applicable)

City: Yellowknife

Province/Territory: Northwest Territories

Postal Code: L0L0L0

Country: Canada

Telephone Number: 123-456-7890 ext.: (if applicable)

Fax number: (if applicable)

E-Mail Address: (if available)

2. Agent for Service

Name of Agent for Service: Ducharme LLP

Contact Person:

Last Name: Sandy

First Name: Smith

20. To manually add Address for Service information, select **Add** from the Search criteria page in step 19. 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.

2427151 - Martin, Jean33070 - Dargan Cataliers

Item 7 - Address and Agent for Service - Northwest Territories

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: Northwest Territories

Postal Code:

Country: Canada

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:

21. Repeat the above steps for each jurisdiction. Once completed, click on **Continue**.
22. The system returns to the list of selected jurisdictions. If you have selected more than one province or territory in which to register the individual, you must complete the registration categories and the Address and Agent for service information for each of them. Select **Continue** to proceed to **Item 8 – Proficiency**.
23. The system displays **Item 8 – Proficiency**. Complete Schedule E as instructed.

In limited cases, you may not be able to obtain the month and date of a Course/Exam Completion Date. After making best efforts (applicants should check personal records,

contact the institution, and finally contact the regulator), if the month and date cannot be obtained, you may enter the known year, a default month and date: 01/01.

If a course/exam has been exempted, do not enter a “Date Completed”. Check the “Exempt” box, enter an exemption date and indicate by whom the exemption was granted.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

Schedule E

1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

You are required under securities legislation to provide this information.

Course, examination, designation or other education:

If 'Other' is selected above, specify:

Date Completed: / / (YYYY/MM/DD)

Exempt:

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

24. If the course/exam taken does not appear on the course/exam drop-down list, select “Other” and specify the course or exam name in the field provided. Click **Add Another** to disclose information for additional courses or exams. Click **Save & Continue** to proceed.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

Schedule E

1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

You are required under securities legislation to provide this information.

Course, examination, designation or other education:

If 'Other' is selected above, specify:

Date Completed: / / (YYYY/MM/DD)

Exempt:

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

25. If you selected course/exam “Chartered Financial Analyst Charter” in the course list, and the “Exempt” box is not checked, upon selecting **Add Another** or **Save & Continue** the page will be displayed again with the following new disclosure question related to the CFA Charter.

Answer the question and click **Save & Continue** to proceed.

2427151 - Martin, Jean 33070 - Dargan Cataliers

"If you have listed the CFA Charter in Item 8.1, please indicate whether you are a current member of the CFA Institute permitted to use the CFA Charter." is a mandatory field. You must complete this field before you can proceed.

Item 8 - Proficiency

Schedule E

1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

You are required under securities legislation to provide this information.

Course, examination, designation or other education:

If 'Other' is selected above, specify:

Date Completed: / / (YYYY/MM/DD)

Exempt:

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

If you have listed the CFA Charter in Item 8.1, please indicate whether you are a current member of the CFA Institute permitted to use the CFA Charter.

Yes No

If "no", please explain why you no longer hold this designation:

Note: If you selected course/exam “Canadian Investment Manager Designation” in the course list, and the “Exempt” box is not checked, upon selecting **Add Another** or **Save & Continue** the page will be displayed again with a disclosure question related to the CIM Designation.

26. If you check the box indicating that the individual is not required to provide proficiency information, the system will proceed to **Item 9 – Location of Employment**. Otherwise the system will proceed as follows.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

Schedule E

1. Course, examination or designation information and other education

Complete Schedule E to indicate each course, examination and designation that is required for registration or approval and that you have successfully completed or have been exempted from.

Check here if you are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course, examination or designation requirements.

Course, examination, designation or other education:

If 'Other' is selected above, specify:

Date Completed: / / (YYYY/MM/DD)

Exempt:

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

27. When you click **Save & Continue** after adding your proficiency to the submission, the system displays a list of proficiencies entered, indicating the completion/exemption date and exemption status of each.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

1. Course, examination or designation information and other education

Click on a course, examination or designation to edit the information

Course, Examination, or Designation	Date Completed or Exempted	Exempted	Removed	Added/Changed
Canadian Securities Course	1999/09/15	No		Added
Branch Managers Course (CSI)	2002/11/30	No		Added
Effective Management Seminar	2005/06/30	Yes		Added
MBA-Finance	2007/05/01	No		Added
Chartered Financial Analyst Charter	2011/06/01	No		Added

To edit or delete any proficiency item, click the name of the course/exam. A **Delete** checkbox will appear near the upper right corner of the screen. Complete your changes or check the **Delete** box and click **Save & Continue**. The system displays the updated list of proficiencies. If you checked the **Delete** box, the entry no longer appears on the summary list. Click **Continue** to proceed.

28. The system displays a screen requesting student numbers. Complete the form as appropriate, and click **Save & Continue**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

2. Student Numbers

If you have a student number for a course that you successfully completed with one of the following organizations, provide it below:

Check here if you (a) do not have a student number with one of the following institutions, (b) are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course or examination requirements, or (c) have previously disclosed this information on NRD.

CSI Global Education (formerly Canadian Securities Institute)	<input type="text" value="18498"/>
IFSE Institute (formerly IFIC)	<input type="text"/>
Institute of Canadian Bankers (ICB)	<input type="text"/>
CFA Institute (formerly AIMR)	<input type="text"/>
Advocis (formerly CAIFA)	<input type="text"/>
RESP Dealers Association of Canada	<input type="text"/>
Other	<input type="text"/>

It is possible that if the applicant has completed courses with one of the institutions listed, but was never assigned a student number, or cannot retrieve the student number then the following steps should be taken:

- (a) Applicants must make best efforts to retrieve students numbers. That is, they should carefully check their own records, contact the institution for help, and if that fails, contact the regulator.
- (b) If the applicant took courses from ONLY ONE of the institutions listed and cannot retrieve the applicable student number, they may click the checkbox indicating that a), s/he does not have a student number for that institution.
- (c) However, if the applicant has taken courses from MORE THAN ONE institution listed, and s/he does have student numbers for at least one, s/he should enter the available student numbers in the appropriate fields. For the institutions where the applicant took courses but could not retrieve a student number, type "Not Available".
- (d) If a missing student number is eventually obtained, after the approval of the Initial Registration, the firm can submit a Change Proficiency Notice through which you can edit student numbers previously entered.

29. The system displays a page asking whether the individual has been refused proficiency exemption.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

3. Exemption Refusal

Has any securities regulator, derivatives regulator or SRO refused to grant you an exemption from a course, examination, designation or experience requirement?

Yes No

- (a) If you answer “No” and click **Save & Continue**, the system will proceed to **Item 9 – Location of Employment**.
- (b) If you answer “Yes”, the system displays a form (Schedule F) to divulge the details of the refusal(s). Complete the form as directed.
- (c) Click **Add Another** to complete the form for any additional refusals. When you are ready, click **Save & Continue**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

Schedule F

3. Exemption Refusal

Complete the following for each exemption that was refused.

Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

State the name of the course, examination, designation or experience requirement:

State the reason given for not being granted the exemption:

Date Exemption Refused: / / (YYYY/MM/DD)

30. The system displays a list of the exemption refusals entered, arranged alphabetically by the course/exam name.

The screenshot shows a user interface for 'Item 8 - Proficiency'. At the top left, it displays '2427151 - Martin, Jean' and at the top right, '33070 - Dargan Cataliers'. Below the header, there is a section titled 'Exemption Refusal Information' with a sub-header '3. Exemption Refusal'. The text below reads 'Investment Funds in Canada (IFC)'. At the bottom of the section, there are two buttons: 'Add Another' and 'Continue >>'.

To edit or delete an entry, click the course/exam name. The system displays the refusal details. A **Delete** checkbox will appear near the upper right corner of the screen. Complete your changes or check the **Delete** box and click **Save & Continue**. The system displays the list of refusals. If you checked the **Delete** box, the entry no longer appears on the summary list. Click **Continue** to proceed.

31. If you selected Registration Categories (except for registration with an Investment Dealer or Derivatives Portfolio Manager in Quebec) you will be presented with the following question regarding relevant securities industry experience:

The screenshot shows a user interface for 'Item 8 - Proficiency'. At the top left, it displays '2427151 - Martin, Jean' and at the top right, '33070 - Dargan Cataliers'. Below the header, there is a section titled '4. Relevant securities industry experience'. The text below reads 'If you have not been registered in the last 36 months and you passed the required examination more than 36 months ago, do you consider that you have gained 12 months of relevant securities industry experience during the 36 month period?'. Below the text, there are three radio buttons: 'Yes', 'No', and 'N/A'. At the bottom of the section, there are two buttons: 'Save & Continue >>' and 'Reset'.

32. If you select **Yes**, and click **Save & Continue** the system displays **Schedule F Item – 8.4 Relevant securities industry experience**. Complete the schedule and click **Save & Continue** to proceed.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 8 - Proficiency

Schedule F

4. Relevant securities industry experience

Describe your responsibilities in areas relating to the category you are applying for, including the title(s) you have held, as well as start and end dates:

What is the percentage of your time devoted to these activities? %

Indicate the continuing education activities which you have participated in during the last 36 months and which are relevant to the category of registration you are applying for:

33. The system displays **Item 9 – Location of Employment** “Unique Identification Number”. This 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**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 9 - Location of Employment

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)

34. 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 branch manager NRD number.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 9 - Location of Employment

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:

To search for Head Office use NRD No. or Type of Location only.

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

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 9 - Location of Employment

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: 1-3 of 3

<u>NRD Location Number</u>	<u>Address Line 1</u>	<u>City</u>	<u>Province</u>	<u>Type of Location</u>
553122	2 Forest Road	Yellowknife	Northwest Territories	Head Office

36. 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.

2427151 - Martin, Jean	33070 - Dargan Cataliers
Item 9 - Location of Employment	
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	553122
Type of Location:	Head Office
Chief Compliance Officer:	2419151 - Karpodini, Peter
Address Line 1:	2 Forest Road
Address Line 2: (if applicable)	
City:	Yellowknife
Province/Territory/State:	Northwest Territories
Postal Code:	L0L0L0
Country:	Canada
Telephone Number:	123-456-7890 ext.:
Fax No.:	123-456-7890
<input type="button" value="Continue >>"/> <input type="button" value="Cancel"/>	

- (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.
37. The system displays **Item 10 – Current employment, other business activities, officer positions held and directorships** (Schedule G). Complete the form as appropriate.

- (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) If “Check here if this activity is employment with the sponsoring firm” was selected, you are not required to fill in the name and address of the firm. It will automatically be populated upon completion of the schedule.

If the activity is not with the sponsoring firm, enter the name of the business or employer. In the “Address of business or employer”, type in the Head Office address.

- (c) If the activity is employment with the sponsoring firm and you work less than 30 hours per week, an explanation is required in **4. Number of work hours per week**. Otherwise, the explanation box must be left blank.
- (d) 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.
- (e) 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”.
- (f) 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.
- (g) 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**.

Item 10 - Current employment, other business activities, officer positions held and directorships**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: / / (YYYY/MM/DD)

2. Firm information

Name of Immediate Supervisor:

Last Name:

First Name:

Title of Immediate Supervisor:

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:

Address of Business or Employer:

Address Line 1:

Address Line 2: (if applicable)

City:

Province/Territory/State:

Country:

3. Description of duties

Describe all employment and business activities related to this employer. Include the nature of the business and your duties, title or relationship with the business. If you are seeking registration that requires specific experience, include details with this firm such as level of responsibility, value of accounts under direct supervision, number of years of experience, and percentage of time spent on each activity.

4. Number of work hours per week

How many hours per week do you devote to this business or employment?

If this activity is employment with your sponsoring firm and you work less than 30 hours per week, explain why.

5. Conflicts of Interest

If you have more than one employer or are engaged in business related activities:

A. Disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities.

B. Indicate whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange.

C. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

D. State the name of the person at your sponsoring firm who has reviewed and approved your multiple employment or business related activities or proposed business related activities.

E. If you do not perceive any conflicts of interest arising from this employment, explain why.

38. The system will display a list of current employment entries.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 10 - Current employment, other business activities, officer positions held and directorships

Employment Information

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

Name of Business or Employment	From	Added/Changed
Dargan Cataliers	2005/06/01	Added

39. To edit or delete an entry, click the employer name. The system displays the record. A Delete checkbox will appear near the upper right corner of the screen.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 10 - Current employment, other business activities, officer positions held and directorships

Schedule G

Employment Information Delete

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: / / (YYYY/MM/DD)

2. Firm information

Complete your changes or check the **Delete** box and click **Save & Continue**. The system displays the current employment list. If you checked the **Delete** box, the entry no longer appears on the summary list. Click **Continue** to proceed.

40. The system displays **Item 11 – Previous Employment and other activities**. You are required to provide continuous employment information for the past 10 years. If Current Employment information goes back at least 10 years, or if you indicated that the individual is not required to disclose employment information, you need only indicate so by checking the box near the top of the screen (“Check here if the information required by this screen has been provided in Item 10”). Otherwise, complete the form as directed. If you wish, you may provide information that extends beyond the 10-year requirement, but there must be no date gaps within the last 10 years.

In “Previous Employment” individuals are required to provide information about all securities or exchange contracts (including commodity futures contracts and commodity futures options), business and employment activities during and prior to the ten years period.

Item 11 - Previous employment and other activities

Schedule H

Previous Employment

Provide the following information for each of your employment and other activities in the past 10-years. Account for all of your time, including full-time and part-time employment, self-employment or military service. Include your status for each, such as unemployed, full-time student, or other similar statuses. Do not include short-term employment of four months or less while a student, unless it was in the securities, derivatives or financial industry.

In addition to the information required in the paragraph above, if you were employed or had business activities in the securities or derivatives industry or both during and before the 10-year period, disclose all your securities and derivatives or both employment or business activities (both before and during the 10-year period).

Check here if the information required by this section has been provided in Item 10.

- Employed or self-employed
 Full-time student
 Unemployed

From: 1999 / 06 (YYYY/MM)

To: 2005 / 05 (YYYY/MM)

Complete the following only if you are, or were, employed or self-employed during this period.

Name of Business or Employer: AAA Securities Inc.
 Address of Business or Employer:
 Address Line 1: 4700 49th St.
 Address Line 2: (if applicable)
 City: Yellowknife
 Province/Territory/State: Northwest Territories
 Country: Canada
 Name of Immediate Supervisor:
 Last Name: Dupont
 First Name: Marel
 Title of Immediate Supervisor: CEO

Describe the firm's business, your position, duties and your relationship to the firm. If you are seeking registration in a category of registration that requires specific experience, include details of that experience. Examples include level of responsibility, value of accounts under direct supervision, number of years of that experience and research experience, and percentage of time spent on each activity.

Direct Sales, marketing and operations

Reason why you left the firm:

Promotion

Add Another

Save & Continue >>

Reset

To make more than one Previous employment entry, click **Add Another** at the bottom of the screen. When you are ready to proceed, click **Save & Continue**. The system displays a list of previous employment entries made.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 11 - Previous employment and other activities

Employment Information

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

Name of Business or Employment	From	To	Added/Changed
<u>AAA Securities Inc.</u>	1999/06	2005/05	Added

If you need to edit or delete any entries click that entry's Employer Name to retrieve the information. A **Delete** checkbox will appear near the upper right corner of the screen. Complete your changes or check the **Delete** box and click **Save & Continue**. The system displays the previous employment list. If you checked the **Delete** box, the entry no longer appears on the summary list. Click **Continue** to proceed.

41. The system displays **Item 12 – Resignations and Terminations**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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:

- Violated any statutes, regulations, rules or standards of conduct?
 Yes No
- Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?
 Yes No
- Committed fraud or the wrongful taking of property, including theft?
 Yes No

42. You must answer yes or no to each question and click **Save & Continue**. If you answer “Yes” to any question, the system will display a screen with the disclosure question hyperlink. Click on the link to provide a detailed response.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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?](#)

43. The system will display the appropriate schedule for disclosure of the information. When you are ready, click **Save & Continue**.

2427151 - Martin, Jean 33070 - Dargan Cataliers

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.

ZZZ Investment Bank
Resigned
1995/06/01
Failed to report conduct of superior.

44. **Items 13 through 16 – Disclosure Questions** – Please refer to Form 33-109F4 for the full text of these disclosure questions. If you answer “Yes” to any question throughout each set of questions, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click **Save & Continue**.
45. The system displays the final item, **Item 17 – Ownership of Securities and Derivatives Firms**. The first part of this item is a question regarding any relation to securities and derivatives firms other than the individual’s sponsoring firm.
- (a) If you answer “No” to this question and click **Save & Continue**, the system will validate the entire submission and either guide you through the Complete Submission process, or inform you of any incomplete portions of the submission.

The screenshot shows a web form interface. At the top left, it displays '2427151 - Martin, Jean' and at the top right, '33070 - Dargan Cataliers'. The main heading is 'Item 17 - Ownership of Securities and Derivatives Firms'. Below this, there is a sub-heading 'Ownership of Securities and Derivatives Firms' in a blue bar. The question text reads: 'Are you now, or have you ever been, a partner or major shareholder of any firm (including your sponsoring firm) whose business is trading in or advising on securities or derivatives or both?'. There are two radio buttons: 'Yes' (which is selected) and 'No'. At the bottom of the form, there are two buttons: 'Save & Continue >>' and 'Reset'.

- (b) If you answer “Yes” and click **Save & Continue**, the system displays the form to provide information on the individual’s Ownership of Securities and Derivatives Firms. If you have more than one related securities firm to disclose, click **Add Another**. Otherwise, click **Save & Continue**.

Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Ownership of Securities and Derivatives Firms Delete

Firm Name:

What is your relationship to the firm and the period of this relationship?

- Partner

From :	<input type="text" value="2007"/>	/	<input type="text" value="06"/>	(YYYY/MM)
To :	<input type="text"/>	/	<input type="text"/>	(YYYY/MM)
- Major shareholder

From :	<input type="text"/>	/	<input type="text"/>	(YYYY/MM)
To :	<input type="text"/>	/	<input type="text"/>	(YYYY/MM)

Provide the following information:

a) State the number, value, class and percentage of securities, or the amount of partnership interest you own or propose to acquire when you are registered or approved as a result of the review of this form. If acquiring shares when you are so approved or registered, state the source (for example, treasury shares, or if upon transfer, state name of transferor).

b) State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:

c) If another person or firm has provided you with funds to invest in the firm, provide the name of the person or firm and state the relationship between you and that person or firm:

d) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm?

Yes No

If "Yes", provide the name of the person or firm and state the relationship between you and that person or firm:

e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any firm or person)?

Yes No

If "Yes", provide the name of the person or firm, state the relationship between you and that person or firm and describe the rights that have been or will be given up:

f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?

Yes No

46. When you click **Save & Continue** the system presents a list of the Ownership of Securities and Derivatives Firms you have entered. If you answered yes to question f), indicating that a person other than the individual you are registering is the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by the individual, the system will present a form to disclose information on this beneficial owner.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Beneficial Owner Information

Firm Name: YK Securities Inc.

g) Name of Beneficial Owner:

Last Name:

First Name:

Second Name: (if applicable)

Third Name: (if applicable)

h) Residential Address: (do not use a P.O. box)

Address Line 1:

Address Line 2: (if applicable)

City:

Province/Territory/State:

Postal/ZIP Code:

Country:

i) Occupation:

Complete the form as required and click **Save & Continue**. Or, if you have more than one beneficial owner to disclose for this related securities and derivatives firm, click **Add Another**.

47. When you click **Save & Continue**, the system displays a list of beneficial owners entered for the Ownership of Securities and Derivatives Firms. To review, edit or delete any beneficial owner entry, click the beneficial owner's name to display the entry in full. Make any changes as appropriate and click **Save & Continue** to return to the beneficial owners list.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Beneficial Owner Information

To edit beneficial owner information, click on a beneficial owner:

Firm Name	Beneficial Owner
YK Securities Inc.	Martin, Robert

48. When you are ready, click Continue. The system displays the list of Ownership of Securities and Derivatives Firms you have entered.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Ownership of Securities and Derivatives Firms

To edit related securities firms information, click on a firm:

Firm Name	Beneficial Owner
YK Securities Inc.	Martin, Robert

49. To review, edit or delete any related securities firm entry, click its firm name to display the entry in full. Make any changes as appropriate and click **Save & Continue** to return to the related securities and derivatives firms list.

2427151 - Martin, Jean 33070 - Dargan Cataliers

Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Ownership of Securities and Derivatives Firms Delete

Firm Name:

What is your relationship to the firm and the period of this relationship?

Partner

Major shareholder

From : / (YYYY/MM)
 To : / (YYYY/MM)
 From : / (YYYY/MM)
 To : / (YYYY/MM)

Provide the following information:

When you are satisfied with the Ownership of Securities and Derivatives Firms and any beneficial owners entered, click **Continue** on the screen.

50. **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.

51. **Returned Registration in Initial 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:	
<i>The following item(s) must be corrected:</i>	
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	
<input type="button" value="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.