



NATIONAL REGISTRATION DATABASE (NRD™) :
HOW TO REACTIVATE REGISTRATION

September 2009

HOW TO REACTIVATE REGISTRATION

(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 the individual is applying for registration:

- (1) after having left the last sponsoring firm more than 3 months ago;
- (2) seeking new jurisdiction(s) or category(ies) that differ from employment with former sponsoring firm;
- (3) information change previously submitted in items 13 to 16 of Form 33-109F4; and
- (4) dismissed or asked to resign from former sponsoring firm.

Who can complete this submission?

All AFRs 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 **Reactivation of Registration** 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.

Registration in an additional jurisdiction

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

Reactivation of Registration

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

2. As with the Initial Registration, you are asked who is completing the submission. See the corresponding steps in the Initial Registration submission for details on setting up an individual to complete their own submission. Otherwise, select **Authorized Firm Representative** and click **Continue**.

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Application Information

Who will be completing the application? If you are an individual seeking registration and are also an AFR for your firm, select 'AFR'.

Individual Applicant
 Authorized Firm Representative

3. The Individual Identification Form will be presented. Enter the Individual's NRD number, Last and First Legal Name, and exact date of birth, as recorded on NRD. When you are ready, click **Save & Continue**.

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Individual Information

Individual Identification

NRD No.:

Last Name:

First Name:

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

4. 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: Martin
First Name: Jean
Second Name: (if applicable)
Third Name: (if applicable)
NRD No.: 2446111
Date of Birth: 1965 / 06 / 30

5. The system presents the first screen of the submission, which is **Item 1 – Name**.

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Item 1 - Name

1. Legal name

Last Name:

First Name:

Second Name: N/A

Third Name: N/A

Provide reason for name change :

2. Other personal names

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?

Yes

3. Use of other names

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?

Yes

6. Information from the individual's Permanent Record is copied into submission for most every item on the form. You may update or correct items on the form, as directed.

7. You can correct any of the following:
- Date/place of birth
 - Residential information
 - Proficiency information, including student numbers
 - Previous employment information.

The items for which you must complete **all new** information are:

- Registration Jurisdictions
- Registration Categories
- Address and Agent for Service
- Current Employment.

8. You may complete new information for **Registration Jurisdictions** following **Item 4 Citizenship** – press **Save & Continue** and the system displays the jurisdictions selection page.
- (a) 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.
 - (b) 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’.
 - (c) You may click **Reset** to clear the selections, or **Save & Continue** to proceed to the next page in the submission.

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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

9. If you only selected one jurisdiction in step 8, please proceed to step 12.

10. If you selected multiple jurisdictions in step 8, the system displays the common categories page. Categories and officer title selected on this page will apply to all jurisdictions included in the submission.

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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.

<p>Approval categories</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Executive <input type="checkbox"/> Director (Non-Industry) <input type="checkbox"/> Supervisor <input type="checkbox"/> Investor <input type="checkbox"/> Registered Representative <input type="checkbox"/> Investment Representative <input type="checkbox"/> Trader <input type="checkbox"/> Director (Industry) 	<p>Additional approval categories</p> <ul style="list-style-type: none"> <input type="checkbox"/> Chief Compliance Officer <input type="checkbox"/> Chief Financial Officer <input type="checkbox"/> Ultimate Designated Person
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<p>Products</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Non-Trading <input type="checkbox"/> Securities <input type="checkbox"/> Options <input type="checkbox"/> Futures Contracts and Futures Contract Options <input type="checkbox"/> Mutual Funds only 	<p>Customer type</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Retail <input type="checkbox"/> Institutional <input type="checkbox"/> Not Applicable
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Portfolio management

- Portfolio Management

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

If 'Other' is selected above, specify:

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

11. The system presents a hyperlinks list of the jurisdiction(s) selected in step 8.
- (a) If this application is being filed in multiple jurisdictions and the firm is registered in varying categories across those jurisdictions, the system will present a message prompting review of those categories. Use the hyperlink list to review the unique categories in each jurisdiction.

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

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](#)

- (b) 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.
12. 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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Item 6 - Individual Categories - Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[Northwest Territories](#)

13. When information for each jurisdiction or 'All Jurisdictions' selected is complete, click **Continue**.

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

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Item 6 - Individual Categories - Summary	
Categories	
<i>JURISDICTION - Northwest Territories</i>	
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	
<i>JURISDICTION - Prince Edward Island</i>	
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	
<i>JURISDICTION - Quebec</i>	
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:	
<input type="button" value="Continue >>"/>	

15. 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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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](#)

16. 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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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:

17. 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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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
559902	102 Gardeners Road	Yellowknife	Northwest Territories	Address for Service

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

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Item 7 - Address and Agent for Service - Northwest Territories

Schedule D

1. Address for Service

Address Line 1: 102 Gardeners Road
 Address Line 2: (if applicable)
 City: Yellowknife
 Province/Territory: Northwest Territories
 Postal Code: L0L0L0
 Country: Canada
 Telephone Number: 867-555-1212 ext.: (if applicable)
 Fax number: (if applicable) 867-555-1212
 E-Mail Address: (if available)

2. Agent for Service

Name of Agent for Service: Martin L.L.P. S.E.N.C.R.L.
 Contact Person:
 Last Name: Ducharme
 First Name: Ann

19. To manually add Address for Service information, select **Add** from the Search criteria page in step 16. 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.

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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:

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

20. 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 Address and Agent for service information for each of them. Select **Continue** to proceed to **Item 8 – Proficiency**.
21. The system displays **Item 8 – Proficiency**. Review and update Schedule E as instructed.
22. You may complete new information for **current employment** following **Item 8 - Proficiency** – then press **Save & Continue**.
23. The system displays **Item 9 – Location of Employment** “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**.

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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)

24. 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.

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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 number or Type of Location only.

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

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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: 1-1 of 1

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

26. 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.

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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: 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.

27. 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.

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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	

28. The system displays **Item 10 – Current employment, other business activities, officer positions held and directorships (Schedule G)** with information at the individual’s last place of employment prior to reactivating registration. Under Start Date, end-date the current information and press **Save & Continue**.

The system will not allow you to override the information that you previously submitted. Do not select the checkbox ‘You are not required under securities legislation to provide this information’ as this will make you re-enter all of the employment history and duplicate it in your permanent record.

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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)

To: / / (YYYY/MM/DD)

When 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.

29. Provide the reason why the individual left the firm on **Schedule H** and press **Save & Continue**.

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

Schedule H

Previous Employment

Reason why you left the firm:

Resigned to attend to a family matter.

30. 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 equal to the reactivation date in the **From** field and leave **To date** blank. Complete the form as appropriate.

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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)
 To: / / (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'.

- (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**.
31. The system displays the list of hyperlinks with the current employment record added. Complete the form as appropriate. When you are ready, click **Continue**.

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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
Antiope Insights	2009/09/01	Added

32. The system displays **Item 11 – Previous employment and other activities** information. The current employment record end-dated in step 27 will now appear at the top of this list marked as changed. You may edit or delete the information on a previous employment record by clicking the employer name. The system displays the previous employment record. A Delete checkbox will appear near the upper right corner of the screen.

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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
Dargan Cataliers	2005/06	2009/05	Changed
AAA Securities Inc.	1999/06	2005/05	

33. If you need to add a previous employment record to report a gap in employment, click **Add Another** at the bottom of the screen. Complete the form as appropriate. When you are ready, click **Save & Continue**.

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

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

34. Following **Item 11 – Previous employment and other activities**, 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.

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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?

Yes No

2) Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?

You have previously provided disclosure for this question.

3) Committed fraud or the wrongful taking of property, including theft?

Yes No

35. 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.

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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?](#)

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

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

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: 2009/09/09
 ZZZ Investment Bank
 Resigned
 1995/06/01
 Failed to report conduct of superior.

Save & Continue >>

Reset

37. For **Disclosure Questions – Item 13 through 16** – Please refer to Form 33-109F4 for the full text of these disclosure questions. As described for Item 12 above, if you answered “Yes” previous to termination 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**.
38. 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 firms other than the individual’s sponsoring firm. The screen will display the answer provided in the individual’s personal information prior to reactivating registration.

Item 17 - Ownership of Securities and Derivatives Firms**Ownership of Securities and Derivatives Firms**

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?

You have previously provided disclosure for this question.

Save & Continue >>

Reset

If the previous answer was “Yes” press **Save & Continue** and the system presents a list of the Ownership of Securities and Derivatives Firms you have entered.

39. The system displays a list of hyperlinks for update of Firm names reported in previous disclosure. Click the appropriate link to update information for the Firm or Beneficial Owner. When you are ready press **Continue**.

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Item 17 - Ownership of Securities and Derivatives Firms
Schedule N

Ownership of Securities and Derivatives Firms

Cease Relationship (Check here if you are no longer related to the firm named below and provide a "To" date for any applicable relationship.)

Firm Name:

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

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

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

- (a) If you answered “No” to this question and do not wish to change it to “Yes” click **Save & Continue**.
- (b) If you now wish to change the answer from “No” click “Yes” and press **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 and derivatives firm to disclose, click **Add Another**. Otherwise, click **Save & Continue**.

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Item 17 - Ownership of Securities and Derivatives Firms

Ownership of Securities and Derivatives Firms

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?

Yes No

40. When you click **Save & Continue** the system presents a list of the Ownership of Securities and Derivatives Firms you have entered.
41. If you have answered “Yes” to Schedule N 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. Complete the form and press **Save & Continue**. (Note that if the answer “Yes” was entered prior to the reactivation of the registration, the information will be copied from the individual’s permanent record information.)

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Item 17 - Ownership of Securities and Derivatives Firms

Schedule N

Beneficial Owner Information

Firm Name: YK Securities Inc.
 Cease Relationship (check here if the individual named below is no longer a beneficial owner)

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:

Update or 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**.

42. 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.

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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

43. When you are ready, click Continue. The system displays the list of Ownership of Securities and Derivatives Firms you have entered. To review, edit or delete any related securities and derivatives 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 firms list.

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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

44. When you are satisfied with the Ownership of Securities and Derivatives Firms and any beneficial owners entered, click Continue on the screen.
45. When all items on the submission are complete and current, click **Complete Submission** on the local navigator. The system verifies that all required information is complete and guides you through the Complete Submission process.
46. **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.

47. 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.

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.