



**NATIONAL REGISTRATION DATABASE (NRD™) :**  
**HOW TO REINSTATE REGISTRATION**

**July 2011**

# HOW TO REINSTATE REGISTRATION

(Complete Form 33-109F7 : NRD Submission “Reinstatement of Registration”)

## When is this submission type used?

Use this submission type if the individual is applying for registration:

- (1) within 3 months of leaving the former sponsoring firm;
- (2) reinstating in the same jurisdiction(s) and the same category(ies) with former sponsoring firm;
- (3) no unreported changes to information previously submitted in items 13 to 16 of Form 33-109F4; and
- (4) were not dismissed or asked to resign from former sponsoring firm.

## Who can complete this submission?

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

## How is this submission completed?

1. From the Main Navigation bar, select **Individual Submission**. Then click **Initial** on the list of Individual submission types, and then **Reinstatement of Registration** on the list of Initial submission.

The screenshot shows a web interface for a user named '37380 - Antiope Insights'. At the top, there is a blue header bar with the text 'Select a Reinstatement 33-109F7'. Below this bar, the option 'Reinstatement of Registration' is highlighted with a red oval. Underneath, there is a paragraph of text explaining when to use this submission type. Below that, there is another blue header bar with the text 'Select an Initial 33-109F4'. Under this bar, there are two options: 'Initial Registration' and 'Registration with an additional sponsoring firm', each followed by a brief description of when to use that option.

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Select a Reinstatement 33-109F7

Reinstatement of Registration

Use this submission to reinstate your registration if (i) you submit this within three months of leaving your former sponsoring firm, (ii) you are reinstating your registration in the same jurisdiction(s) and the same category(ies) as your registration with your former sponsoring firm, and (iii) there have been no unreported changes to information previously submitted in items 13 to 16 of your Form 33-109F4 and (iv) you were not dismissed or asked to resign from your former sponsoring firm. Otherwise, use the submission 'Reactivation of Registration.'

Select an Initial 33-109F4

Initial Registration

Use this submission if you are applying for registration through NRD for the first time.

Registration with an additional sponsoring firm

Use this submission if you are not leaving your current sponsoring firm and you are applying for registration with an additional sponsoring firm.

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

FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS | SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS

Initial  
Amendment  
Notice

### 37380 - Antiope Insights

**Individual Information**

**Individual Identification**

NRD No.: 2427151  
Last Name: Martin  
First Name: Jean  
Date of Birth: 1965 / 12 / 31 (YYYY/MM/DD)

Save & Continue >> Reset

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

### 37380 - Antiope Insights

**Individual Information**

**Individual Identification**

Last Name: Martin  
First Name: Jean  
Second Name: (if applicable)  
Third Name: (if applicable)  
NRD No.: 2427151  
Date of Birth: 1965 / 12 / 31

Continue >> Cancel

4. After the instructions page, the system displays the applicant's use of other names from his/her permanent record. If you wish to change the answer from 'No' to 'Yes' select radio button 'Yes' or if the answer is still valid, click **Save & Continue**.

### 2427151 - Martin, Jean

37380 - Antiope Insights

**Reinstatement of Registration - Item 1 - Name**

**3. Use of other names**

Are you currently using, or have you ever used, operated under, or carried on business under, a name other than the name(s) mentioned above (for example, trade names for sole proprietorships or team names)?

Yes  No

Save & Continue >> Reset

5. The system will display a list of hyperlinks. If the 'Other Names' is still correct and does not require updates, click **Continue**. Otherwise access the 'Other Names' record for update by selecting the appropriate link **2. Other personal names** or **3. Use of other names**.

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Reinstatement of Registration - Item 1 - Name

Schedule A

**Other Names**

Click on each section below to complete the schedule.

[3. Use of other names](#)

6. If a link was selected in step 5 a list of other names will be presented with hyperlinks. Use the hyperlink to access the 'other name' record and update the information or press **Add Another** to add a new 'other name'. Otherwise click **Continue**.

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Reinstatement of Registration - Item 1 - Name

Schedule A

**3. Use of other names**

Click on a name to edit information submitted:

Name	From	To
<a href="#">Voyageurs</a>	2000/12	2005/12

7. The submission 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.

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Reinstatement of Registration - Item 5 - Registration Jurisdictions

**1. Passport/Interface Selection**

Are you seeking to reinstate your registration or permitted individual status in more than one jurisdiction of Canada?

Yes  No

**2. Jurisdictions**

Check each province or territory in which you are seeking reinstatement of registration or reinstatement as a permitted individual:

Northwest Territories  
 Nunavut  
 Prince Edward Island  
 Quebec

OR

All Jurisdictions

(b) Select the jurisdiction(s) in which the individual will be registered with your firm from the list displayed and click **Save & Continue**. If you are making this application to all jurisdictions on the list, you may select 'All Jurisdictions'.

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

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Reinstatement of Registration - 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

**Mutual Fund Dealer**

Dealing Representative

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

If 'Other' is selected above, specify:

9. The system displays a list of hyperlink for all jurisdiction(s) selected in step 7. 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. When you are ready press **Continue**.

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

Reinstatement of Registration - Item 6 - Individual Categories - Jurisdictions

**Provinces or Territories**

Click on a province or territory to provide registration information:

**Provinces or Territories**

[Northwest Territories](#)  
[Nunavut](#)  
[Quebec](#)

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.

If applicable, the system displays a checkbox list of the individual IIROC approval categories. Select at least one category. When you are ready, click **Save & Continue**.

10. 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**.

<b>2427151 - Martin, Jean</b>	<b>37380 - Antiope Insights</b>
<b>Reinstatement of Registration - Item 6 - Individual Categories - Jurisdictions</b>	
<b>Provinces or Territories</b>	
Click on a province or territory to provide registration information:	
<b>Provinces or Territories</b>	
<a href="#">Northwest Territories</a>	
<input type="button" value="Add Another"/>	<input type="button" value="Continue &gt;&gt;"/>

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

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<b>Reinstatement of Registration - Item 6 - Individual Categories - Summary</b>	
<b>Categories</b>	
<u><i>JURISDICTION - Northwest Territories</i></u>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
Officer Title: Officer	
<u><i>JURISDICTION - Nunavut</i></u>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
Officer Title: Officer	
<u><i>JURISDICTION - Quebec</i></u>	
<b>Permitted Individuals</b>	
Officer	
<b>Mutual Fund Dealer</b>	
Dealing Representative	
Officer Title: Officer	
If you are seeking reinstatement as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your new sponsoring firm's professional liability insurance? Yes	
If "No", state:	
The name of your insurer:	
Your policy number:	
<input type="button" value="Continue &gt;&gt;"/>	

12. 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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**Reinstatement of Registration - 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](#)  
[Nunavut](#)  
[Quebec](#)

13. The system displays the Address for Service page. Enter the NRD Location Number if known or enter other search criteria such as 'Address Contains', 'City' and/or the 'Type of Location' drop down box. Click on **Search** to find the Address for Service location.

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**Reinstatement of Registration - 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:

14. 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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**Reinstatement of Registration - 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
<a href="#">559902</a>	102 Gardeners Road	Yellowknife	Northwest Territories	Address for Service

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

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**Reinstatement of Registration - 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

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

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Reinstatement of Registration - Item 7 - Address and Agent for Service - Nunavut

**Schedule D**

**1. Address for Service** (do not use a P.O. box)

You must have one address for service in each province or territory in which you are now, or are seeking to become, a registered individual or permitted individual. A post office box is not an acceptable address for service.

Address Line 1:

Address Line 2: (if applicable)

City:

Province/Territory:

Postal Code:

Country:

Telephone Number:  ext.: (if applicable)

Fax number: (if applicable)

E-Mail Address: (if available)

**2. Agent for Service**

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

Name of Agent for Service:

Contact Person:

    Last Name:

    First Name:

If Address for Service is manually added, all updates to the address will require the filing of a notice. It is preferable to select an existing Address for Service or working location using the Search function instead of manually adding an address to reduce future maintenance of the individual's permanent record.

17. Repeat the above steps for each jurisdiction. Once completed, click on **Continue**.
18. The system displays **Item 9 – Location of Employment** “Unique Identification Number” for entry of a new ID Number. The filed 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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Reinstatement of Registration - Item 9 - Employment Location

**Unique Identification Number**

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

Unique Identification Number: (optional)

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

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**Reinstatement of Registration - Item 9 - Employment Location**

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

**Search Criteria**

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

NRD Location Number:

**OR**

Address Contains:

City:

Province/Territory/State:

Type of Location:

NRD No. of Supervisor:

20. 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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**Reinstatement of Registration - Item 9 - Employment Location**

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

**Search Criteria**

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

NRD Location Number:

**OR**

Address Contains:

City:

Province/Territory/State:

Type of Location:

NRD No. of Supervisor:

**Search Results**

Showing Results: 1-1 of 1

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

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

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Reinstatement of Registration - Item 9 - Employment Location

**Employment Location with the Sponsoring Firm**

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

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

- (a) If the individual resides outside Canada, select your firm’s Head Office as the location of employment.
- (b) if the Head Office is outside Canada, the applicant must provide additional contact information for their employment location on the screen listing the Head Office.
22. 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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Reinstatement of Registration - Item 10 - Current Employment

**Employment Information**

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

Name of Business or Employment	From	To	Added/Changed
<a href="#">Dargan Cataliers</a>	2005/06/01		

23. 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 reinstating registration. Under Start Date, end-date the current information and press **Save & Continue**.

The screenshot shows the 'Employment Information' section of the 'Reinstatement of Registration - Item 10 - Current Employment' form. The header includes '2427151 - Martin, Jean' and '37380 - Antiope Insights'. The section title is 'Schedule G Employment Information'. Below this, there is a paragraph of instructions: '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.' Under the heading '1. Start Date', there are two rows of date pickers. The first row is labeled 'From:' and has values '2005', '/06', '/01' with '(YYYY/MM/DD)' to its right. The second row is labeled 'To:' and has values '2011', '/05', '/01' with '(YYYY/MM/DD)' to its right. At the bottom of the section, there is a note: 'Complete the following only if you are, or were, employed or self-employed during this period.'

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.

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

The screenshot shows the 'Previous Employment' section of the 'Reinstatement of Registration - Item 10 - Current employment, other business activities, officer positions held and directorships' form. The header includes '2427151 - Martin, Jean' and '37380 - Antiope Insights'. The section title is 'Schedule H Previous Employment'. Below this, there is a label 'Reason why you left the firm:' followed by a text area containing the text 'Resigned due to family matter.'. At the bottom of the form, there are two buttons: 'Save & Continue >>' and 'Reset'.

25. The system returns to the list of hyperlinks and displays the current employment record with the changed end-date. Press **Add Another** to complete a new Schedule H to record the current employment information for the reinstatement.

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Reinstatement of Registration - Item 10 - Current Employment

**Employment Information**

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

Name of Business or Employment	From	To	Added/Changed
Dargan Cataliers	2005/06/01	2011/05/01	Changed

26. The system displays **Item 10 – Current employment (Schedule G)**. The system will display a blank Employment Information form for entry of the current employment information. Enter the Start Date equal to the reinstatement date in the **From** field and leave **To date** blank. Complete the form as appropriate.

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Reinstatement of Registration - Item 10 - Current Employment

**Schedule G**

**Employment Information**

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

Employed or self-employed  
 Full-time student  
 Unemployed

**1. Start Date**

From: 2011 / 06 / 01 (YYYY/MM/DD)  
 To: / / (YYYY/MM/DD)

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

**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) 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) 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**.

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

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Reinstatement of Registration - Item 10 - Current Employment

**Employment Information**

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

Name of Business or Employment	From	To	Added/Changed
<a href="#">Antiope Insights</a>	2011/06/01		Added
<a href="#">Dargan Cataliers</a>	2005/06/01	2011/05/01	Changed

28. The system displays the previous disclosure, if any, for **Item 17 – Ownership of Securities and Derivatives Firms**. If there are no previous disclosures, answer ‘Yes’ or ‘No’ to the question. Press **Save & Continue**.

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Reinstatement of 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.*

Complete Item 17 - Ownership of Securities and Derivatives Firms **Schedule N** where applicable.

29. With previous disclosures, the system displays a list of hyperlinks on Firm names. Click the appropriate link to update information for the Firm or Beneficial Owner. When you are ready, press **Continue** or **Add Another** for more disclosures.

2427151 - Martin, Jean 37380 - Antiope Insights

Reinstatement of Registration - 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
<a href="#">YK Securities Inc.</a>	Martin, Robert

30. The system asks you to confirm that confirm that the Permanent Record contains current information for Regulatory, Criminal, Civil, Financial disclosure. Read part 2 and select the checkbox if the applicant is eligible to file Form 33-109F7 Reinstatement Submission.

If there are any Terms & Conditions attached to the individual’s registration, an alert will be displayed at the top of this screen:

*“Terms and conditions exist for this individual. These terms and conditions may apply to the reinstatement of registration with your firm. Contact the applicant for information.”*

If there has been a change in disclosure information prior to the reinstatement then you must withdraw the reinstatement submission and complete Form 33-109F4 Reactivation Submission to register the applicant with the sponsoring firm.

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**Reinstatement of Registration - Confirm Permanent Record**

**Confirm Permanent Record**

1. Check the appropriate box to indicate that, since leaving your former sponsoring firm, there has been a change to any information previously submitted for the items of your Form 33-109F4 that are listed below.

- Regulatory Disclosure (Item 13)
- Criminal Disclosure (Item 14)
- Civil Disclosure (Item 15)
- Financial Disclosure (Item 16)

2. Check the box below - ***I am eligible to file this Form 33-109F7, only*** if you satisfy both of the following conditions:

(a) there are no changes to any of the disclosure items under Item 9.1 above, and

(b) your employment, partnership or agency relationship with your former sponsoring firm did not end because you were asked by the firm to resign or resigned voluntarily, or were dismissed, following an allegation against you of

- \* criminal activity,
- \* a breach of securities legislation, or
- \* a breach of the rules of an SRO.

If you do not meet the above conditions for selecting the box 'I am eligible to file this Form 33-109F7', then you must apply for reinstatement by completing on NRD a Form 33-109F4 by making the NRD submission entitled 'Reactivation of Registration'. If you are submitting a Form 33-109F4 in a format other than NRD format you must complete the entire form.

I am eligible to file this Form 33-109F7.

When you are ready, press **Continue**. The system verifies that you have entered all the required information and begins the **Complete Submission** process.

31. **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.

**32. 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.

2423371 - Davis, Judith	33070 - Dargan Cataliers
<b>Deficient Items</b>	
<b>List of Deficient Items:</b>	
<i>The following item(s) must be corrected:</i>	
Current Employment	
<b>Comments:</b>	
Dear AFR:	
After reviewing the submission for Judith Davis, we note the following deficiency that requires correction:	
Item 10 - Current Employment	
You have disclosed that the applicant will be working only 10 hours, but you have not answered question A.	
Please address the deficiency by September 4 or the application will be withdrawn.	
Regards, Reviewer	
<input type="button" value="Continue &gt;&gt;"/>	

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.