## **Enhancement to the Reconciliation Report by Submission**

On Tuesday August 7<sup>th</sup>, an enhancement will be implemented on NRD to add a Unique Identification Number column to the existing Reconciliation Report by Submission.

The Unique Identification Number (UIN), found under item 9 Location of employment, will be displayed for the applicable individual or submission.

The report structure changes on the Reconciliation Report by Submission are summarized as follows:

| Report Format                | Changes   |
|------------------------------|---|
| PDF Format                   | Unique Identification Number column is added to the right.  |
| Excel Format                 | Unique Identification Number column is added to the right in column P.  |
| Comma-separated Values (CSV) | The header 'Unique Identification<br>Number' is added in Column AJ and the<br>value of the UIN is added in Column AZ. |

The following figures are the sample outputs generated from the NRD.

## 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) UIN

Figure 1: Sample filled Initial Registration submission with Unique Identification Number entered in Item 9 Location of employment

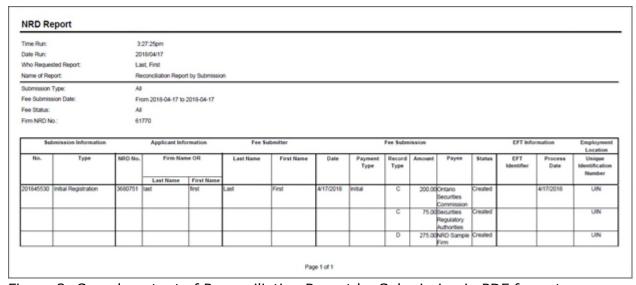


Figure 2: Sample output of Reconciliation Report by Submission in PDF format

| A  | Α                 | В                    | С             | D         | E          | F         | G          | Н         | 1       | J      | K      | L            | M         | N          | 0        | Р              |
|----|-------------------|----------------------|---------------|-----------|------------|-----------|------------|-----------|---------|--------|--------|--------------|-----------|------------|----------|----------------|
| 1  | NRD Report        |                      |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 2  | Time Run:         | 3:51:44 PM           |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 3  | Date Run:         | 2018/04/17           |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 4  | Who Requested Re  | Last, First          |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 5  | Name of Report:   | Reconciliation Repo  | ort by Submis | sion      |            |           |            |           |         |        |        |              |           |            |          |                |
| 6  | Submission Type:  | All                  |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 7  | Fee Submission Da | From 2018-04-17 to   | 2018-04-17    |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 8  | Fee Status:       | All                  |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
| 9  | Firm NRD No.:     | 61770                |               |           |            |           |            |           |         |        |        |              |           |            |          |                |
|    | No.               | Туре                 | NRD No.       | Firm Name | First Name | Last Name | First Name | Date      | Payment | Record | Amount | Payee        | Status    | EFT        | Process  | Unique         |
|    |                   |                      |               | OR Last   |            |           |            |           | Type    | Type   |        |              |           | Identifier | Date     | Identification |
| 10 |                   |                      |               | Name      |            |           |            |           |         |        |        |              |           |            |          | Number         |
|    |                   | Initial Registration | 3680751       | last      | first      | Last      | First      | 4/17/2018 | Initial | C      | 75.00  | Securities F | ReCreated |            | 4/17/201 | B UIN          |
| 12 | 201845530         | Initial Registration | 3680751       | last      | first      | Last      | First      | 4/17/2018 | Initial | C      | 200.00 | Ontario Sec  | u Created |            | 4/17/201 | BUIN           |
| 13 | 201845530         | Initial Registration | 3680751       | last      | first      | Last      | First      | 4/17/2018 | Initial | D      | 275.00 | NRD Sampl    | e Created |            | 4/17/201 | BUIN           |

Figure 3: Sample output of Reconciliation Report by Submission in Excel format

| 4 | AJ         | AK       | AL           | AM      | AN   | AO    | AP   | AQ    | AR        | AS      | AT | AU  | AV         | AW      | AX | AY        | AZ  |
|---|------------|----------|--------------|---------|------|-------|------|-------|-----------|---------|----|-----|------------|---------|----|-----------|-----|
| 1 | Unique Ide | 2.02E+08 | Initial Regi | 3680751 | last | first | Last | First | 4/17/2018 | Initial | С  | 75  | Securities | Created |    | 4/17/2018 | UIN |
| 2 | Unique Ide | 2.02E+08 | Initial Regi | 3680751 | last | first | Last | First | 4/17/2018 | Initial | С  | 200 | Ontario Se | Created |    | 4/17/2018 | UIN |
| 3 | Unique Ide | 2.02E+08 | Initial Regi | 3680751 | last | first | Last | First | 4/17/2018 | Initial | D  | 275 | NRD Samp   | Created |    | 4/17/2018 | UIN |

Figure 4: Sample output of Reconciliation Report by Submission in Comma-separated Values (CSV) format