

HOW TO ENROL TO USE NRD

Here are the steps to follow to facilitate your NRD enrolment.

Download the following **three forms** from the NRD website at www.nrd.ca:

- NRD Form 1 – Enrolment of Firm
- NRD Form 2 – Enrolment of Chief Authorized Firm Representative
- NRD Form 3 – NRD Account Holder Authorization

FORM 1 – ENROLMENT OF FIRM

Form 1 is intended for firms that are making an initial filing in NRD.

MANDATORY DOCUMENTS TO BE PROVIDED

- Form 1 and Appendix A, duly completed and signed.
- True copy of the certificate of incorporation, certificate of amendment or other business registration document issued by the applicable governmental office.
- A cheque payable to CDS INC. in the amount of \$535, including GST.

Form 1 may also be used to make a **change** to a previous filing. **In this case, you do not need to resubmit Appendix A.**

INSTRUCTIONS

- Sections 1, 2, 3, 4 and 5 of Form 1 must **all** be completed. If any information is missing, the NRD administrator will consider your filing to be incomplete.
- With respect to Form 1, you are required to provide certain **basic information** regarding your firm, including your firm's name, confirmation of the appointment of a chief authorized firm representative, address particulars of the appropriate contact person at your firm, and financial institution details for the account to be used to make payments in NRD by electronic pre-authorized debit.
- Form 1 also contains the **terms and conditions of use** of NRD and must be signed by all authorized signatories of your firm.
- As for section 2, you must also complete Form 2 ("Enrolment of Chief Authorized Firm Representative") in the case of an **initial filing**. The information completed in this section must match the information completed in section 1 of Form 2 (see box "What is an AFR?").
- As for section 3, you must also complete Form 3 ("NRD Account Holder Authorization") in the case of an **initial filing**. The information completed in this section must match the information completed in section 3 of Form 3.

- As part of its filing, your firm must provide **NRD account information**. You may designate an account from any financial institution of your choice, provided it is a member of the **Canadian Payments Association** (see Member List on website at www.cdnpay.ca).

WHAT IS AN AFR?

Authorized firm representative (AFR)

An authorized firm representative has access to the system for the purposes of performing the basic functions for a firm, namely making submissions on behalf of the firm and individual filers associated with the firm, as well as searching for and viewing information on NRD and authorizing payments from the firm's NRD account.

Chief authorized firm representative (chief AFR)

This is an authorized firm representative that has accepted a firm's appointment to act as that firm's highest-ranking authorized firm representative. This person has an enhanced level of access to the system. In addition to being able to perform all the functions of an AFR, this person is able to perform additional functions that may not be performed by an AFR.

Authorized firm representative administrator (AFR administrator)

This is an authorized firm representative that, like a chief AFR, also has an enhanced level of access to the system. An AFR administrator may perform all the same NRD functions as a chief AFR.

FORM 2 – ENROLMENT OF CHIEF AUTHORIZED FIRM REPRESENTATIVE

For the **first enrolment**, you must complete Form 2 for the appointment of a person to act as the **chief authorized firm representative** (chief AFR) for your firm in NRD.

Form 2 may also be used to request a **new user ID** in connection with an enrolment as a chief AFR or to make a **change** to a previous filing.

INSTRUCTIONS

- Sections 1, 2, 3 and 4 of Form 2 must **all** be completed. If **any information** is missing, the NRD administrator will consider your filing to be incomplete.
- The person being appointed as a chief AFR for your firm must provide certain **basic information**, including the person's name, the firm's name and a personal identification number.

FORM 3 – NRD ACCOUNT HOLDER AUTHORIZATION

For the **initial filing**, Form 3 must be completed for the appointment of an NRD account holder. An NRD account is the account designated by your firm from which annual registration fees, submission fees and and NRD user fees will be **paid by electronic pre-authorized debit**.

Form 3 may also be used for making a **change** to a previous filing.

INSTRUCTIONS

- Sections 1, 2, 3 and 4 of Form 3 must **all** be completed. If **any information** is missing, the NRD administrator will consider your filing to be incomplete.
- The firm paying fees through NRD must use this form to provide particulars of the firm, contact information and financial institution details. Again, the financial institution selected must be a member of the **Canadian Payments Association** (www.cdnpay.ca).

IN SHORT

To enrol to use NRD, the following forms and documents must be delivered:

- NRD Form 1 – Enrolment of Firm Filer
- NRD Form 2 – Enrolment of Chief Authorized Firm Representative
- NRD Form 3 – NRD Account Holder Authorization
- Articles of incorporation or any other document confirming the legal name of the firm
- Applicable fees payable to CDS INC. (\$535, including GST)
- A VOID cheque for NRD account (from which submission, annual and user fees will be **electronically withdrawn**)

All items must be delivered **together**, by prepaid mail or personally, to the attention of the NRD administrator at the following address:

CDS INC.
85 Richmond Street West
Toronto, Ontario M5H 2C9
Fax: 1 866 729-8011
Website: www.nrd.ca

KEY DATES

October 29 to November 30, 2004	Enrolment of firms in NRD
December 2 to 11, 2004	Training on using NRD
December 20, 2004 to January 4, 2005	Freeze period (no submissions accepted)