



THE MANITOBA  
SECURITIES  
COMMISSION

## MSC STAFF NOTICE 2003-6

### Transition to National Registration Database

The Manitoba Securities Commission (MSC) would like to remind registrants to access the National Registration Database (NRD) website on a regular basis for information relating to enrolling and accessing NRD. The website address is [www.nrd-info.ca](http://www.nrd-info.ca).

The official launch date for NRD is Monday, March 31, 2003. In order to transition to the NRD, a freeze period will be implemented. The NRD freeze period will begin March 7, 2003 and ends 5 days after the NRD access date. Part 8 (*Transition to NRD*) of Multilateral Instrument 33-109 (MI 33-109) and Part 7 (*Transition*) of Multilateral 31-102 (MI 33-102) outlines the rules for firms to follow during the Transition to NRD.

MI 33-109 and MI 33-102 can be found on the MSC's website at [www.msc.gov.mb.ca/legislation/rules](http://www.msc.gov.mb.ca/legislation/rules).

Staff have received inquiries from registrants regarding how the transition to NRD will affect ongoing registration applications and submissions. On March 6, 2003, the MSC's in-house database will be frozen for the upload of the NRD database. A registration submission that can be approved and entered into the commission's existing database on or before March 6, 2003 will not be affected by the implementation of NRD. However, registration submissions that are not approved by this date will have to be resubmitted by the filer through NRD within the dates specified in MI 33-109.

Staff will make every effort to process registration applications prior to the freeze date. We request that you submit applications well in advance of March 6, 2003 to enable the review and approval of registrations. The Commission estimates that registration submissions received **after February 14, 2003** will have to be resubmitted through NRD as required by MI 33-109. Registrants are advised that this is an estimated date only, and may change if the volume of registration submissions increases or decreases.

MI 33-109 comes into effect February 21, 2003. The prescribed forms in MI 33-109 also come into effect February 21, 2003:

- Form 33-109F1 - Notice of Termination (replaces Uniform Termination Notice)
- Form 33-109F2 - Change or Surrender of Individual Categories (replaces Change of Status Form)
- Form 33-109F3 - Business Locations Other Than Head Office (replaces Opening and Closing Branch/Sub-Branch Forms)
- Form 33-109F4 - Registration Information for an Individual ( replaces Form 1-U-2000)
- Form 33-109F5 - Change of Registration Information (i.e. criminal disclosure, currently being dealt with by way of letter)

**The above forms must be submitted after February 21, 2003.** These forms can be found on the MSC's website at [www.msc.gov.mb.ca](http://www.msc.gov.mb.ca).

Firms that are submitting the above forms between February 21, 2003 and the freeze period, are required to have the registrant and the authorized officer or partner of the firm sign the last page of the form(s). Please submit one copy of the form with original signatures and the applicable filing fee.

First time registrants are also required to submit the Securities Fraud Information Centre Form (SFIC) with the Form 33-109F4. The SFIC form can be obtained from the MSC's website [www.msc.gov.mb.ca](http://www.msc.gov.mb.ca).

Photographs are required for Manitoba residents who are applying for first time registration. Photographs are not to be submitted to the MSC but are to be kept at the firm's business location with the registrant's records.

Part 8 of MI 33-109 exempts firms from filing certain registration requirements. These filings will have to be filed as an electronic submission in NRD either 15 or 30 days after the firm obtains access to NRD. Please review Part 8 of MI 33-109 for filing registration requirements during the freeze period.

Staff are reviewing the current registration processes against the NRD registration processes. At this point in time we wish to advise you of:

- Transfer of individuals - during the freeze period transfer for individuals will be approved on a conditional basis for sixty days pending the review of the Notice of Termination. The Notice of Termination is exempted from being filed during the freeze period under Part 8 of MI 33 - 109.
- Effective February 21, 2003, the MSC's Form 2 "Application for Amendment as Broker, Investment Dealer..." under *The Securities Act* will no longer be required to be filed with amendments to firms.
- Effective February 21, 2003, the requirement to file MSC's Form 10 "Application for Amendment of Registration as a Dealer or Advisor" under *The Commodity Futures Act (CFA)*, with the appointment of each individual under the *CFA* will no longer be required.
- Effective February 21, 2003, *notice of title change* for officers (i.e. vice president to managing director) will no longer required to be filed as an amendment to the MSC.

The Filer Manual provides instructions, procedures and guidelines for using the NRD. You can obtain a copy of the Filer Manual by viewing the NRD website at [www.nrd-info.ca](http://www.nrd-info.ca).

For questions relating to registration matters that cannot be answered through the NRD website, you may contact the Commission as follows:

**Toll free (Canada & US): 1-866-250-6345** or

**Email: [nrd-msc@gov.mb.ca](mailto:nrd-msc@gov.mb.ca)**

The Manitoba Securities Commission

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