

**NRD® FORM 2**  
**ENROLMENT OF CHIEF AUTHORIZED FIRM REPRESENTATIVE**

---

**TO:**           **ALBERTA SECURITIES COMMISSION**  
c/o CSA Service Desk  
Attention: NRD Administrator.  
12 Millennium Blvd, Suite 210,  
Moncton, NB E1C 0M3

**AND TO:**     Each **Firm** that appoints the undersigned as its chief AFR using the user ID assigned in respect of this enrolment.

---

**STRICTLY CONFIDENTIAL**

Please select one box:

- First enrolment as a chief AFR in the National Registration Database ("NRD")**
- Request for a new user ID in connection with this enrolment as a chief AFR. Currently, you have one or more active user IDs as a chief AFR with one or more firms.**

Do not provide any of your current user IDs to the firm enrolling you via this NRD Form 2.

**Note:** If this form was already completed in respect of a previous enrolment by you as a chief AFR and you wish to use the user ID assigned in respect of that enrolment, do not complete this form. Provide a current user ID to the firm enrolling you. The firm must include this user ID in section 2 of NRD Form 1 *Enrolment of Firm*.

- Change to Previous Filing**

Describe change(s):

- Personal Identification Number - complete sections 1, 3 & 4
- Current chief AFR legal name change - complete sections 1 & 4, provide proof of name change and return this form with NRD Form 1 (with sections 1, 2, 4 & 5 of NRD Form 1 completed by the firm).

Within five (5) business days of the change, return this form and any requested documents to the NRD Administrator as described below. Changes will be effective after the NRD Administrator has completed its processing of all required information and forms.

**General Instructions:**

- A. This form may be downloaded from the NRD® website at [www.nrd.ca](http://www.nrd.ca).
- B. A manual signature is required by the chief AFR.
- C. If a firm is enrolling an initial chief AFR or a new chief AFR, this form must be accompanied by NRD Form 1 completed by the firm when delivered to the NRD Administrator. The names completed in section 1 of this form must match the names completed in section 2 of NRD Form 1.
- D. The personal identification number referenced in section 3 of this form is to be kept strictly confidential. For security reasons, the chief AFR may choose to return this completed form, together with NRD Form 1, if required under C. above, to the NRD Administrator on behalf of the firm.
- E. Return this form by prepaid mail or personal delivery to the NRD Administrator at the address above or, if this form is accompanied by an amended NRD Form 1 as required under C above, it may be returned to the NRD Administrator by fax to 1-866-729-8011, or by e-mail to [nrd@csa-acvm.ca](mailto:nrd@csa-acvm.ca), in both cases, to such other address, fax number or e-mail address as may be provided on the NRD website.

**Section 1 Chief AFR Information**

Last name:		
First name:	Second name:	Third name:
Direct phone number: (     ) Extension if applicable:	Fax number: (     )	E-mail address:

**Section 2 Firm Information**

Legal name of the firm that has appointed the chief AFR:	Firm NRD number (if firm has previously enrolled and is changing the chief AFR or any chief AFR information):
--	---

### Section 3 Personal Identification Number

For purposes of PIN change only, please provide User ID if already a chief AFR.

User ID if already a chief AFR:
---------------------------------

Select **four to six numbers, not beginning with zero**, as the unique confidential personal identification number ("PIN") of the chief AFR. The PIN will be required to allow the chief AFR to access the NRD website.

The chief AFR will be asked to reset his or her password after accessing the NRD website for the first time. It is the sole responsibility of the chief AFR to implement appropriate security precautions to ensure that the PIN selected below is kept strictly confidential.

--	--	--	--	--	--

### Section 4 Acknowledgements of Chief AFR

NRD® is the National Registration Database created to facilitate the filing of information pursuant to National Instrument 31-102- *National Registration Database (NRD)*, and National Instrument 33-109 - *Registration Information* and pursuant to Manitoba and Ontario Securities Commission Rules 31-509 (*Commodity Futures Act*) National Registration Database and 33-506 (*Commodity Futures Act*) Registration Information. Further details on these instruments and NRD can be found in Companion Policy 31-102CP, Companion Policy 33-109CP and the NRD Filer Manual. NRD was also created to facilitate the electronic payment of fees using the NRD website.

The chief AFR confirms that he or she has accepted the appointment by the firm as the firm's chief AFR. The chief AFR acknowledges that the payment of fees by electronic pre-authorized debit on behalf of the appointing firm(s) from each firm's NRD account may be authorized by the chief AFR, or by any other AFRs appointed on behalf of such firm.

In the event that any conduct of any of the AFRs or individual filers of a firm is harmful to the operation of NRD and/or the NRD website, the NRD Administrator shall so notify the chief AFR of that firm and the chief AFR agrees to revoke or otherwise prevent or restrict such AFRs, individual filers and/or unauthorized individuals from access to use all or any part of the NRD website immediately.

### Language of Agreement

*For firms located in Québec only* - It is the express wish of the parties that both the English and French versions of this NRD Form 2 (French version available: [https://www.nrd.ca/nrd/userguide/french/enrolment\\_afr\\_fr.pdf](https://www.nrd.ca/nrd/userguide/french/enrolment_afr_fr.pdf)) and, if applicable, all related documents, be binding on the parties.

**Notice - Collection and Use of Personal Information**

The personal information that you provide on this form to the NRD Administrator will be used to facilitate your access to and use of NRD and will not be used for any other purpose. The NRD Administrator will retain your completed NRD Form 2 as evidence of your enrolment as a chief AFR. The information you provide on this form or otherwise through NRD will not be disclosed to any third party except for any of the Canadian securities regulatory authorities, the self-regulatory organizations or their authorized representatives for purposes of the administration or enforcement of securities legislation in the applicable jurisdictions. For information about the use of the information collected on this form or to obtain access to the information you have submitted, contact the CSA Service Desk, attention NRD Administrator at the address provided above or by telephone at 1-800-219-5381 or by email at [nrd@csa-acvm.ca](mailto:nrd@csa-acvm.ca) and your enquiry will be directed to the privacy officer of the securities regulatory authority to which your enquiry relates.

The chief AFR acknowledges that all access to and use of NRD shall be subject to the terms mentioned above.

Print name of chief AFR:			
Last name:	First name:	Second name:	Third name:
Signature of chief AFR:		Date (dd/mm/yyyy):	