

### 1. What are the registration requirements and categories?

Section 34 of the Securities Act states that a person must not:

- Trade in a security or exchange contract
- Act as an adviser
- Act as an investment fund manager
- Act as an underwriter;  
unless the person is registered in accordance with the regulations and in the category prescribed for the purpose of the activity.

The categories of registration are set out in Part 2 (for individuals) and Part 7 (for firms) of [National Instrument 31-103](#) Registration Requirements, Exemptions and Ongoing Registrant Obligations.

### 2. How do I apply for registration?

An individual or firm that wants to register must file an application form. Under [National Instrument 33-109](#) Registration Requirements and [National Instrument 31-102](#), [National Registration Database](#), individuals file the individual application form, [Form 33-109F4](#), on the National Registration Database or NRD. Firms file the application form, [Form 33-109F6](#), as a paper filing, by fax, or scanned in an email.

### 3. Do branch and sub-branch offices need to be registered?

Yes. All branches, including sub-branches and home offices, need to be registered. Applications must be filed through the [National Registration Database](#), or NRD.

### 4. How long does it take to become registered?

There is no specific timeframe. The Deputy Director of Capital Markets reviews each application and approval is on a case-by-case basis. We will begin the review of each application within 48 hours after it is received. If there are any deficiencies in the application we will notify the applicant of the deficiency within 48 hours after completion of the review.

Applications that are received from individuals that are currently registered in another Canadian jurisdiction will be processed through The Passport System. The Passport System streamlines the registration process by enabling applicants to apply for registration in another Canadian jurisdiction through the applicants' home

regulator, since the registration requirements are the nationally harmonized. In those cases, the approval in Nova Scotia is controlled by the applicants home jurisdiction but generally reviewed within 48 hours.”

**Other questions? Please contact:**

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