Regulatory Reporting System

Regulatory Reporting System (RRS)
Manage Corporate Returns

User Guide

January 2021

CDIC SADC

OSFI BSIF

BANK OF CANADA
BANQUE DU CANADA

Table of Contents

Table of Contents

Table of Contents

1.0 Introduction

The RRS Portal application (referred to as RRS or the RRS application from this point) provides access for Federally Regulated Financial Institutions (FRFIs) and Federally Regulated Private Pension Plans to submit regulatory return information. With RRS you can create, delete, complete and submit corporate returns, view your organization's profile, view documents and manage your user details.

To access RRS you will need a Bank of Canada's BoC Connect User account.

The first time you access RRS, you will set up your account, which involves setting your password and preferred language.

This guide details how to use RRS to complete and submit corporate returns. To complete and submit financial returns refer to the Manage Financial Returns User Guide.

1.1 Using this Document

This document uses the following conventions to increase clarity:

- **Bold text** indicates a selection or data field to be filled in.
- *Italics* indicate a reference to a section within this document or a page within the BoC Connect.

In addition, there are three types of sidebars, each identified by an icon:

	Information – These sidebars contain extra detail, or describe optional steps.
	Caution – These sidebars point out a possibility that may cause unexpected behaviour and tell you how to correct the issue, if you encounter it.
	Warning – These sidebars alert you to something important that can affect your ability to use RRS.

1.2 Technical Requirements

For best performance, the following technical requirements are recommended:

- Google Chrome 58
- Microsoft Internet Explorer version 11 or Edge
- Firefox ESR52

- Cookies enabled
- JavaScript enabled, and
- Microsoft Excel 2003 or higher (to download information into Excel format)

Note that the BoC Connect and RRS application have been tested and certified with the specified web browser.

1.3 Support

If you encounter an issue or problem with the RRS application that isn't covered by this Guide, you can:

- Contact your organization's LRA
- Contact the **Bank of Canada at 1-855-865-8636**
- Contact the Returns Administration group at **OSFI at (613) 991-0609** for issues related to corporate returns

2.0 Logging into RRS

To log into RRS, you need to be logged into the Bank of Canada's BoC Connect. Once logged into the BoC Connect the RRS login page displays.

- If you are logging into RRS for the first time, see 2.2*: Logging in for the First Time*.
- If you have forgotten your RRS password, see 2.3*: Resetting Your RRS* Password.

Refer to the BoC Connect User Guide for information on logging into the Bank of Canada's BoC Connect.

2.1 Log into RRS

To log into RRS:

Begin at the RRS Login page.

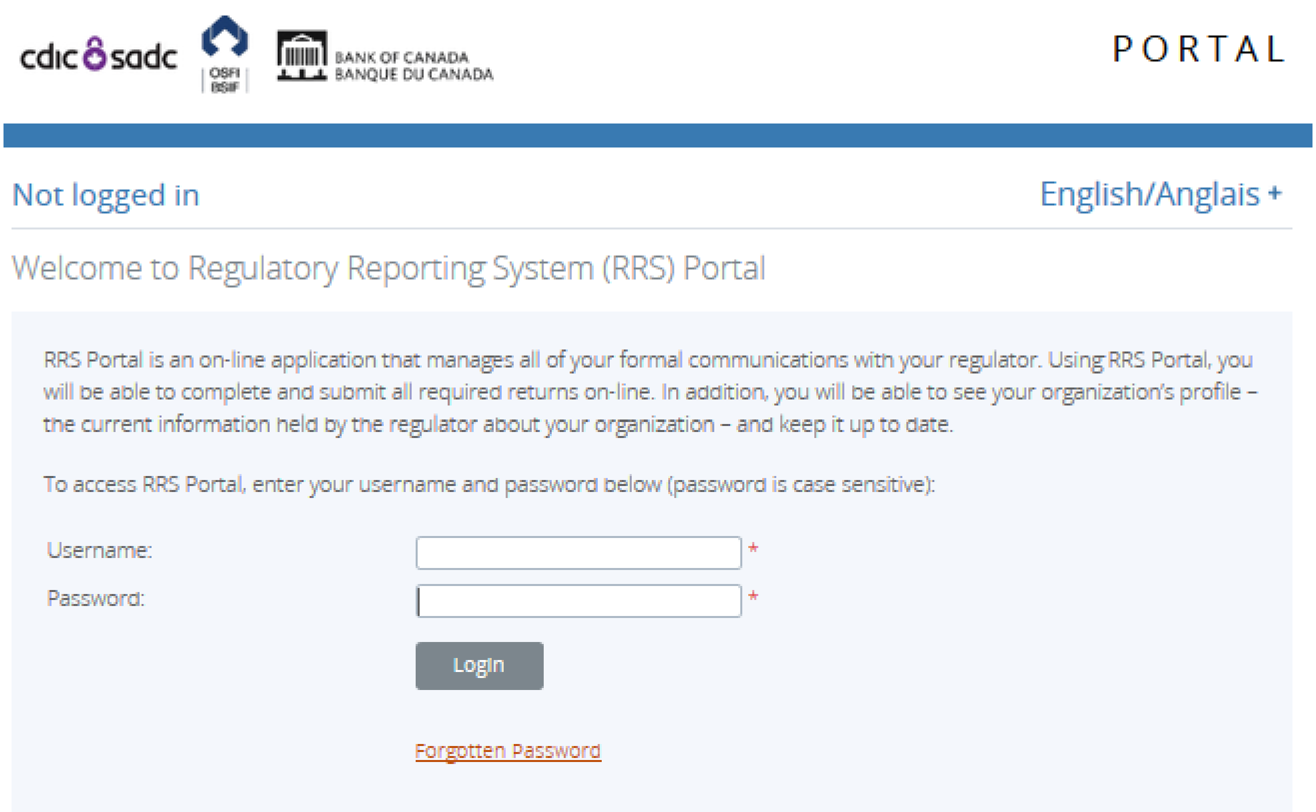


Figure 2.1-1: Login Page

1. In the **Username** field, enter your RRS Username.

2. In the **Password** field, enter your RRS Password.

3. Click **Login** to continue.

	Incorrect Login Attempts:
	After five incorrect login attempts, your account will be locked out. If this happens, you can click the Forgotten Password link to reset your account. See 2.3: *Resetting Your RRS Password* for more information.

	Organization Selection:
	You can be associated with more than one organization in RRS. Follow the steps below to select the organization that you would like to work on.

<u>If you have permission to access more than one organization:</u>

1. Follow the steps above to log in.

The Select organization page displays.

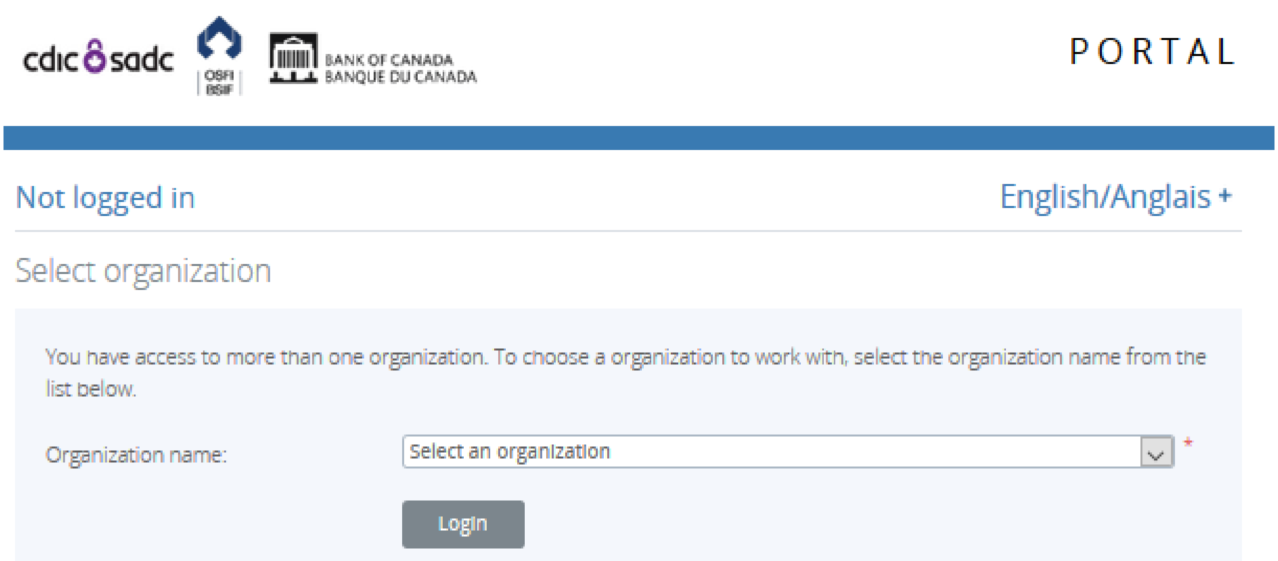


Figure 2.1-2: Select Organization Page

2. Click the drop-down menu.

3. Select the name of the organization you want to access.

4. Click **Login**.

The Welcome page displays with the word “Change” beside your username indicating that you belong to more than one organization.

To change the organization selection:

1. Click the **Change** link at the end of your username.

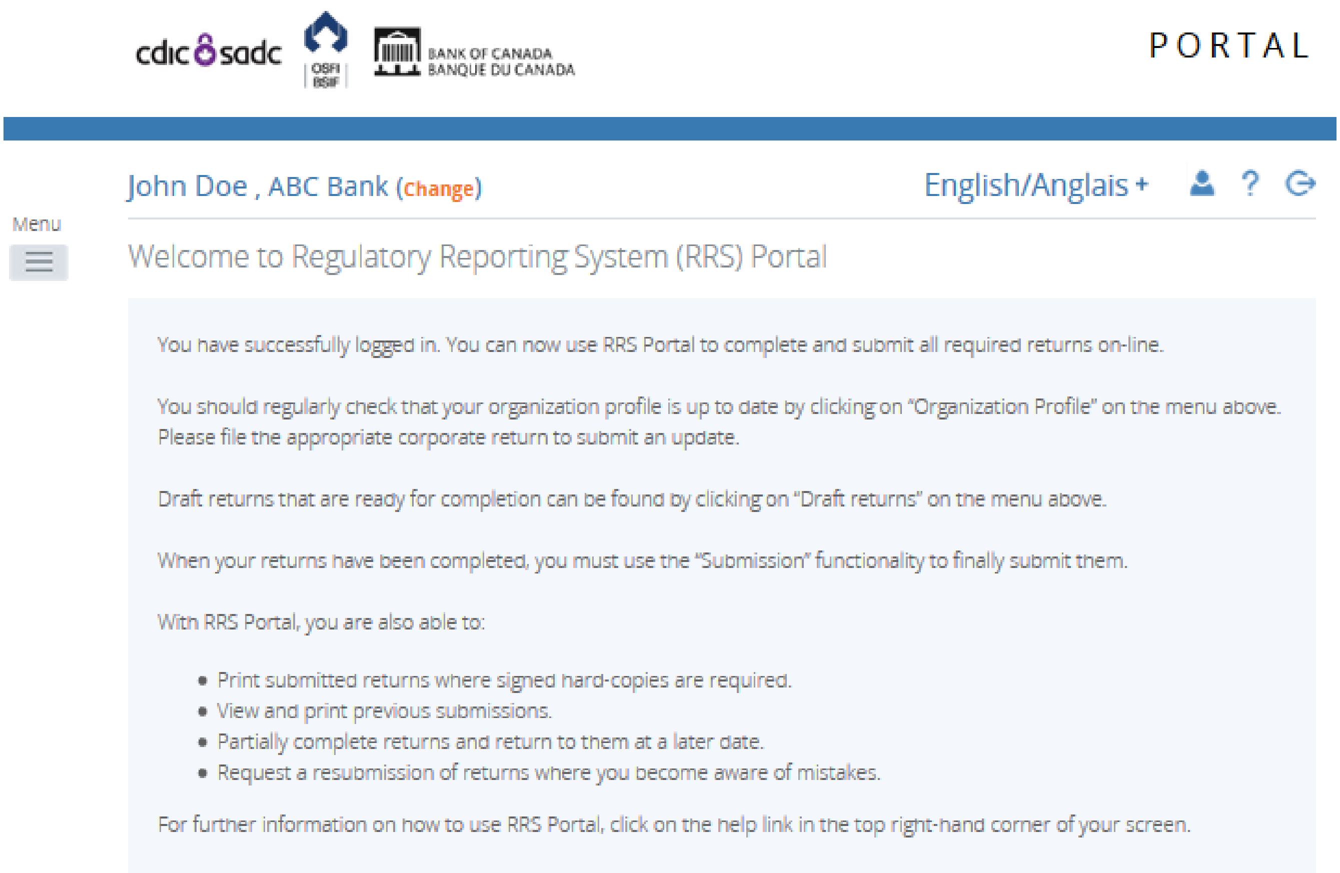


Figure 2.1-3: Change Organization Page

Follow the steps above to change the organization.

2.2 Logging in for the First Time

The first time you log into RRS, you'll be asked to update your temporary password. This process involves entering a new password and setting your language preference.

To log into RRS for the first time:

Begin at the RRS Login page.

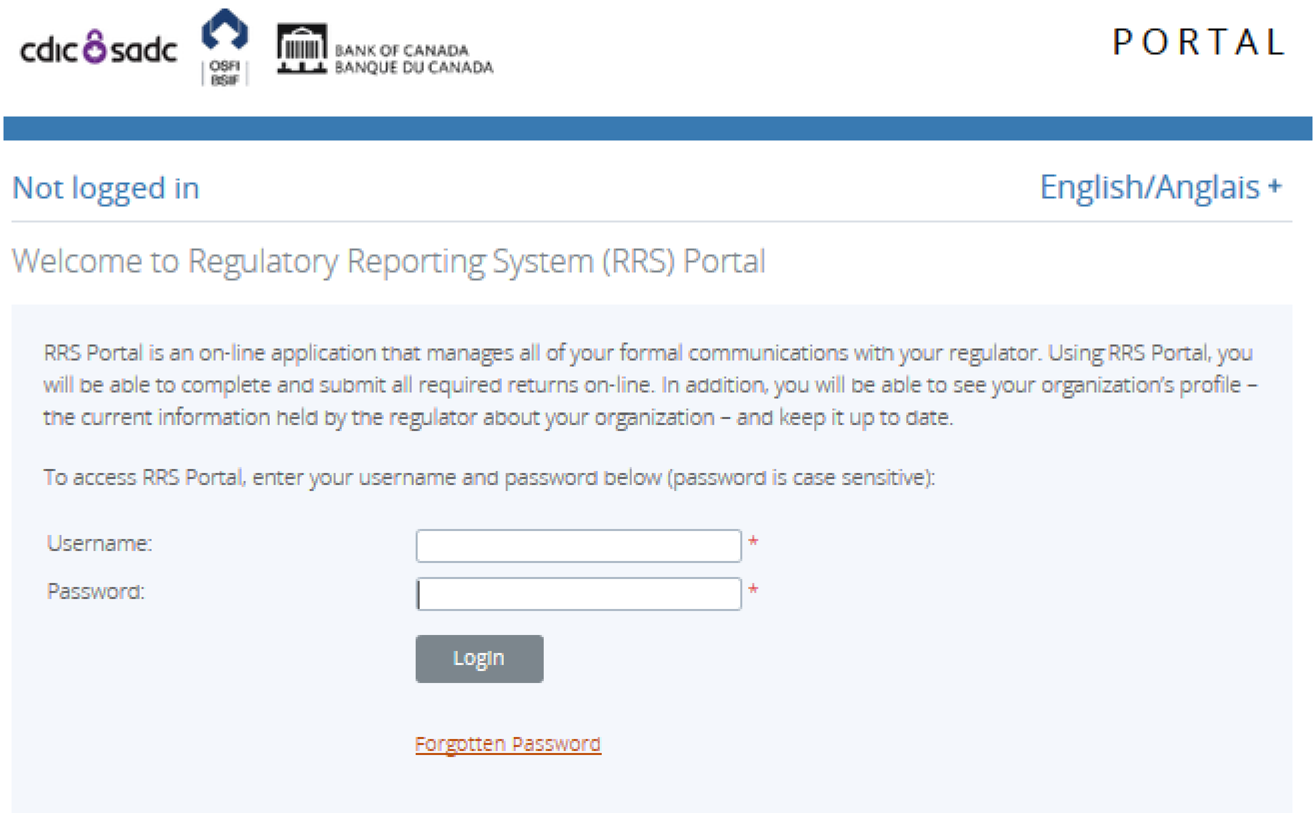


Figure 2.2-1: Login Page

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter the temporary RRS Password given to you in an email entitled "New Portal User Account".
3. Click **Login**.

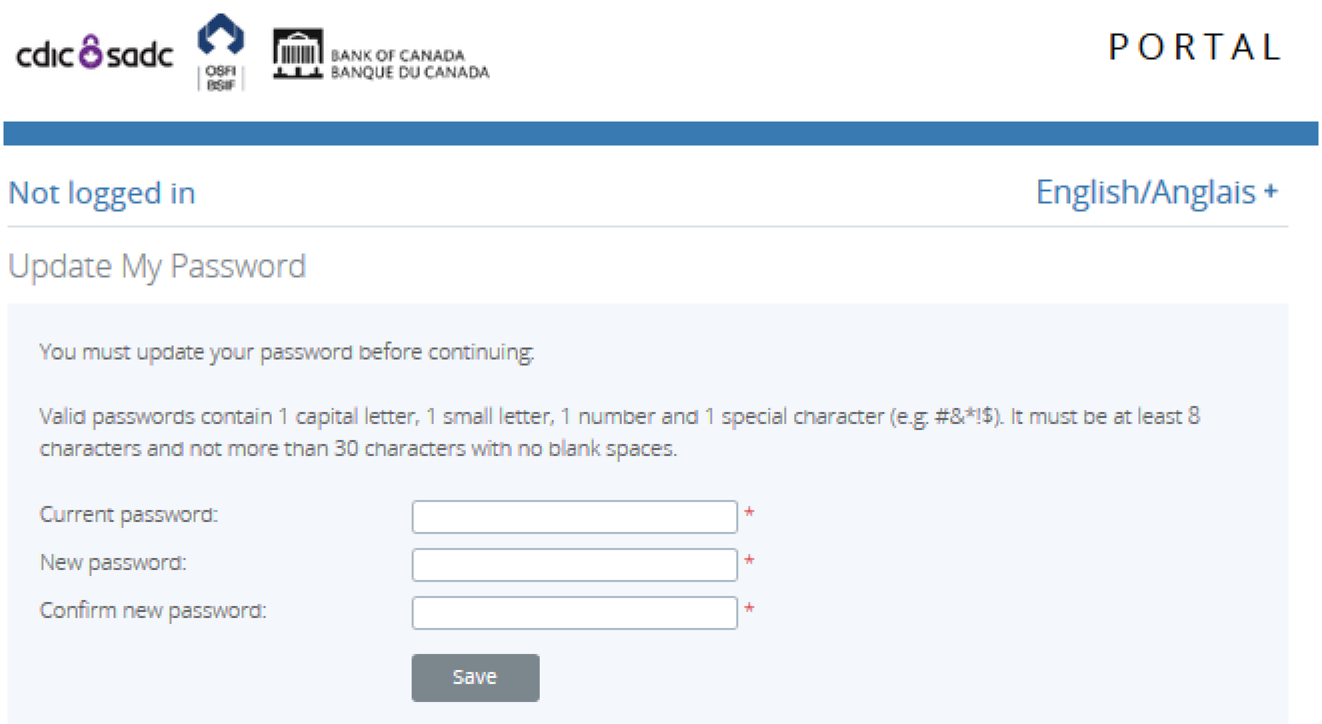


Figure 2.2-2: Update My Password Page

4. In the **Current password** field, enter your temporary RRS Password.
5. In the **New password** field, enter a new RRS Password.

	Passwords:
	Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.

6. In the **Confirm new password** field, re-enter your new RRS Password.
7. Click **Save** to set your RRS Password.

The My User Details page displays. From here you can set your preferred language.

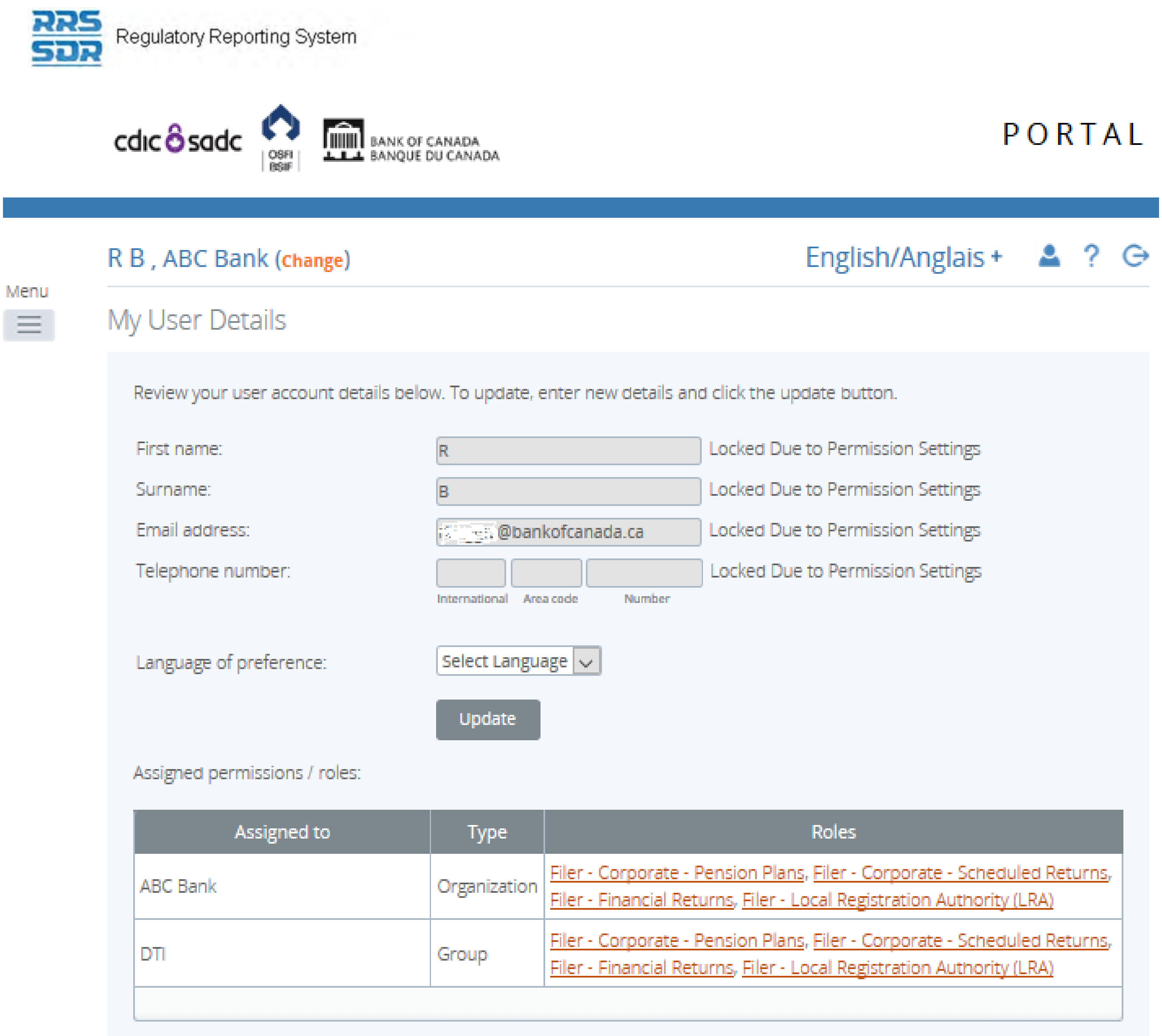


Figure 2.2-3: Update My Password Page

8. Click the drop-down menu in the **Language of preference** field.
9. Select your preferred language.
10. Click **Update**.

Your preferred language is now set. Each time you log in RRS will display in your preferred language.

	Language:
	Although your preferred language is set, you can change the language during a session by clicking the drop-down menu on the language field below the **Logout** link on the top right of each page in the application. The language reverts back to the original setting when you logout.

2.3 Resetting Your RRS Password

The RRS Password reset functionality allows you to reset your forgotten password.

<u>To reset your password:</u>

Begin at the Login page.

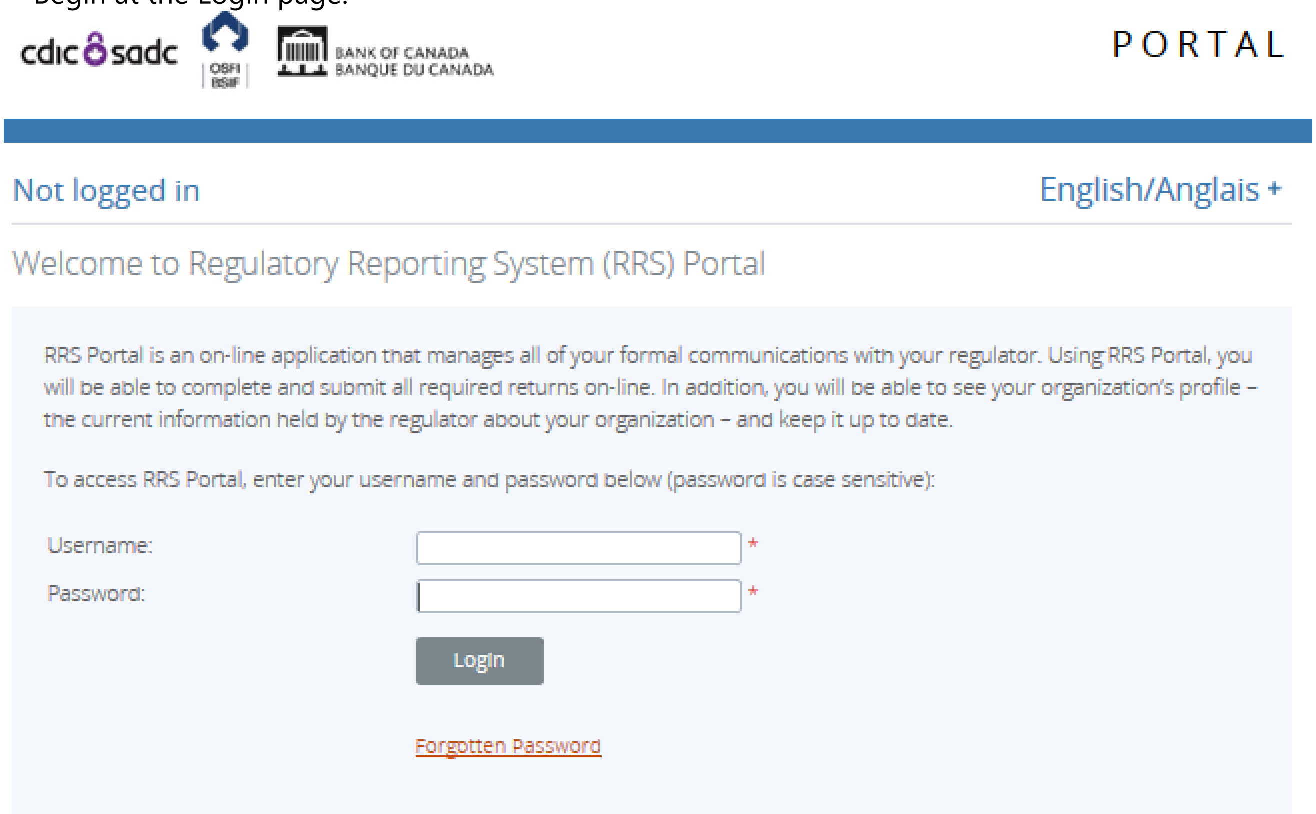


Figure 2.3-1: Login Page

1. From the Login page, click the **Forgotten Password** link.

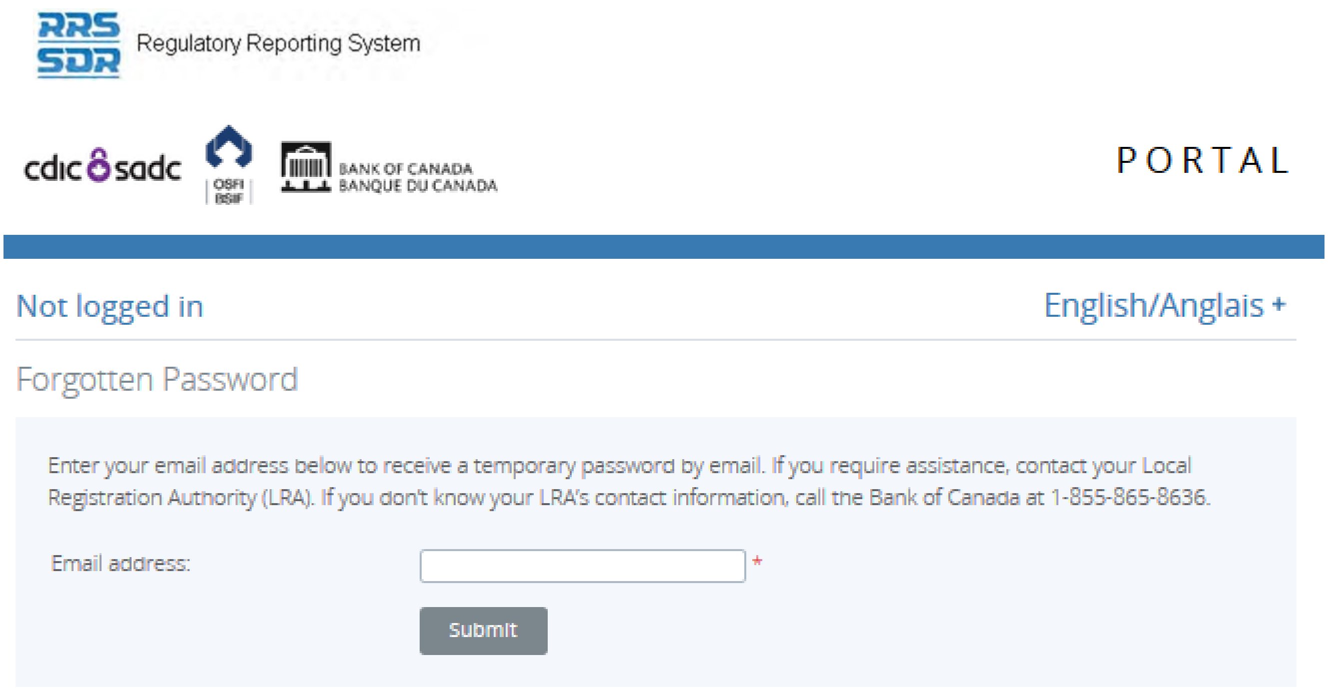


Figure 2.3-2: Forgotten Password Page

2. In the **Email address** field, enter your email address registered in RRS.
3. Click **Submit**. The Forgotten Password page informs you that a temporary password has been emailed to you.
4. Navigate to your email and search for an email entitled "Account Reactivation".
5. Copy the new password and navigate back to RRS.
6. Click the **Home** menu item.

Figure 2.3-3: Login Page

7. Enter your username.
8. Enter your temporary password.
9. Click **Login**.

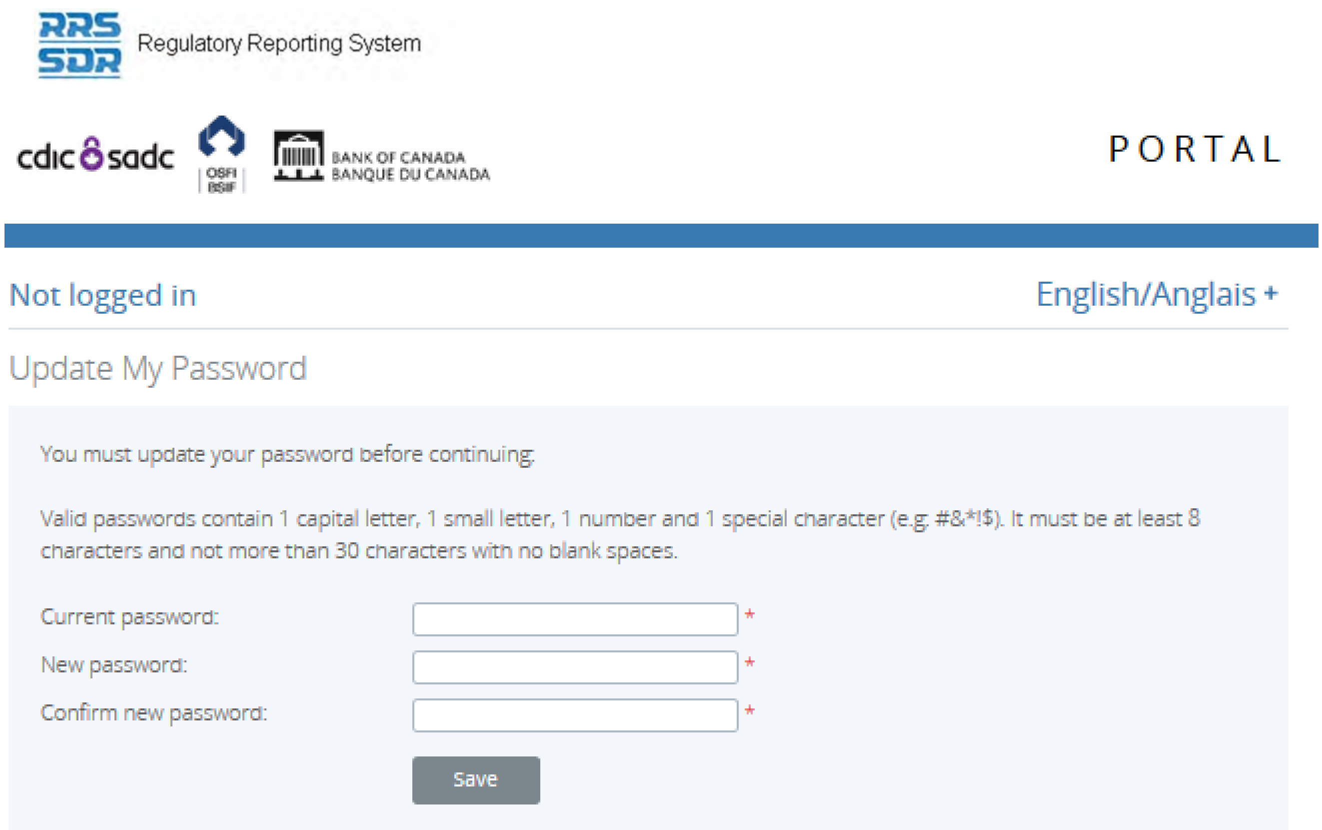


Figure 2.3-4: Update My Password Page

10. Enter your temporary password in the **Current password** field.
11. Enter your new password in the **New password** field. Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.
12. Re-enter your new password in the **Confirm new password** field.
13. Click **Save**.
14. If necessary, you can update your telephone number or language of preference.
15. Click **Update**.

3.0 General Instructions on Managing Corporate Returns

RRS provides functionality to create, complete and submit corporate returns to the Bank of Canada (BoC), the Office of the Superintendent of Financial Institutions (OSFI) and/or the Canada Deposit Insurance Corporation (CDIC). This section covers how to create and delete returns, complete and submit returns, view returns, and view and correct errors in a return.

	Corporate Return Support
	If you encounter an issue or problem with completing and submitting a corporate return that isn't covered in this Guide, contact the Returns Administration group at **OSFI at (613) 991-0609**.

Managing corporate returns involves submitting a regulatory return through the RRS application. There are three scenarios that involve managing corporate returns:

- Scenario #1: a corporate return can be scheduled by your regulator for submission, in which case the return would display automatically in the Draft Returns menu. Instructions on how to perform this function are detailed in Section 3.1.
- Scenario #2: a specific event such as a change to your organization's general contact information can trigger the need for a corporate return to be filed, in which case the return would need to be created through the Manage Returns menu. Instructions on how to perform this function are detailed in Section 3.5.
- Scenario #3: a review of your organization's profile could indicate the need for an update to specific information through the submission of a corporate return. Instructions on how to perform this function are detailed in Section 5.0.

Rules and Errors

When entering information manually into a return, the data is validated against rules that are set up within each return. Two separate sets of rules are used to validate returns: structural and validation. ***Structural rules*** validate the format and structure of the data being reported, such as entering numeric versus textual information as appropriate. ***Validation rules*** validate the accuracy of the data being reported, against what is located within the profile. Structural validation occurs when the Validate & Save button is clicked. When you attempt to submit a return, validation rules are applied. If a return fails validation you are presented with an error message. Returns with errors are displayed with an exclamation mark in a circle on the Draft Returns page. In the event of an error, you will need to correct the information to continue.

Validation rules can be applied to specific sections of a return, but if any section fails validation, the return cannot be processed as the entire return needs to be valid before it can be submitted. Validation rules are documented in the Return Rules report specific to each return type.

Draft Return Key Icons

The Draft Return page displays icons that are used to depict specific return information. The key icons are described as follows:

Figure 3-1: Draft Return Key

Form Set: a double set of folders represents an entire return which could consist of one or many forms, also known as sections.
Folder: a single folder represents a structural grouping of forms, also known as sections.
Repeatable Folder: a single folder with blue arrows indicates a folder that has repeatable sections.
Form: a page symbol indicates a section within a return.
Add Section: a page with a green plus sign allows forms, also known as sections, to be added to a return where applicable.
Ready to Submit: the white check mark in a green circle symbol indicates the return has been validated, meaning that it has passed structural rules and is ready to submit.
In Draft: the pencil symbol indicates this return has been saved as a draft and not yet validated
No Data – Mandatory: the red star symbol indicates there is no data in this return and that mandatory fields exist.

Note: the absence of a red star on a return or return section indicates there are no mandatory fields.

3.1 General Instructions on Completing and Submitting a Corporate Return

Begin at the RRS Welcome page.

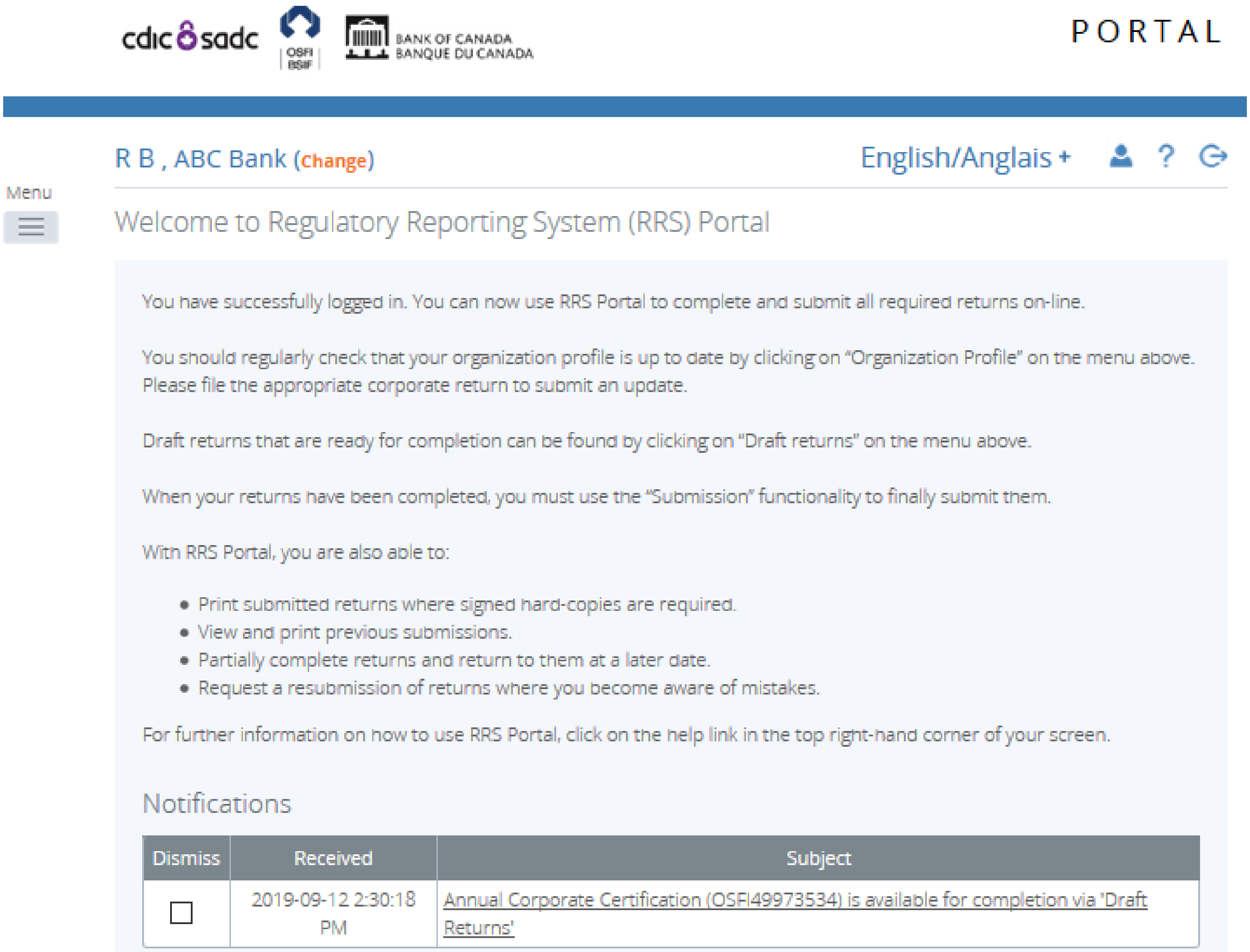


Figure 3.1-1: Welcome Page

1. Click the **Draft Returns** menu item.

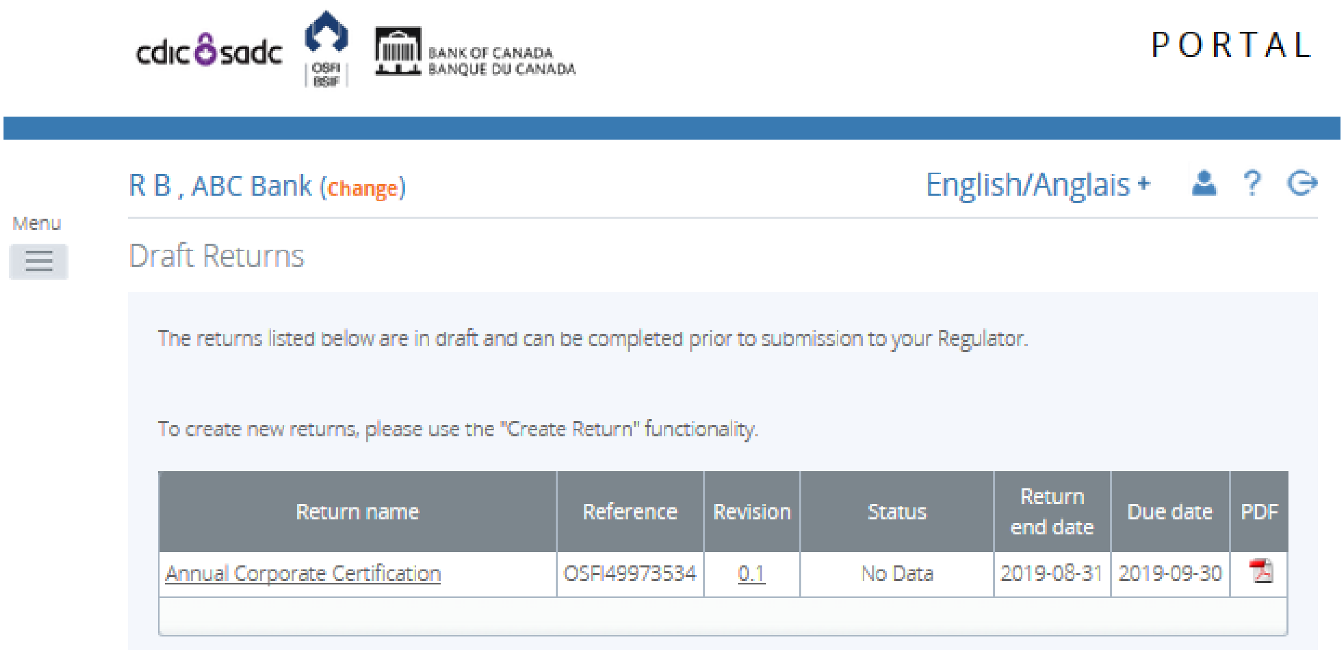


Figure 3.1-2: Draft Returns Page

2. Click the return name to be completed.

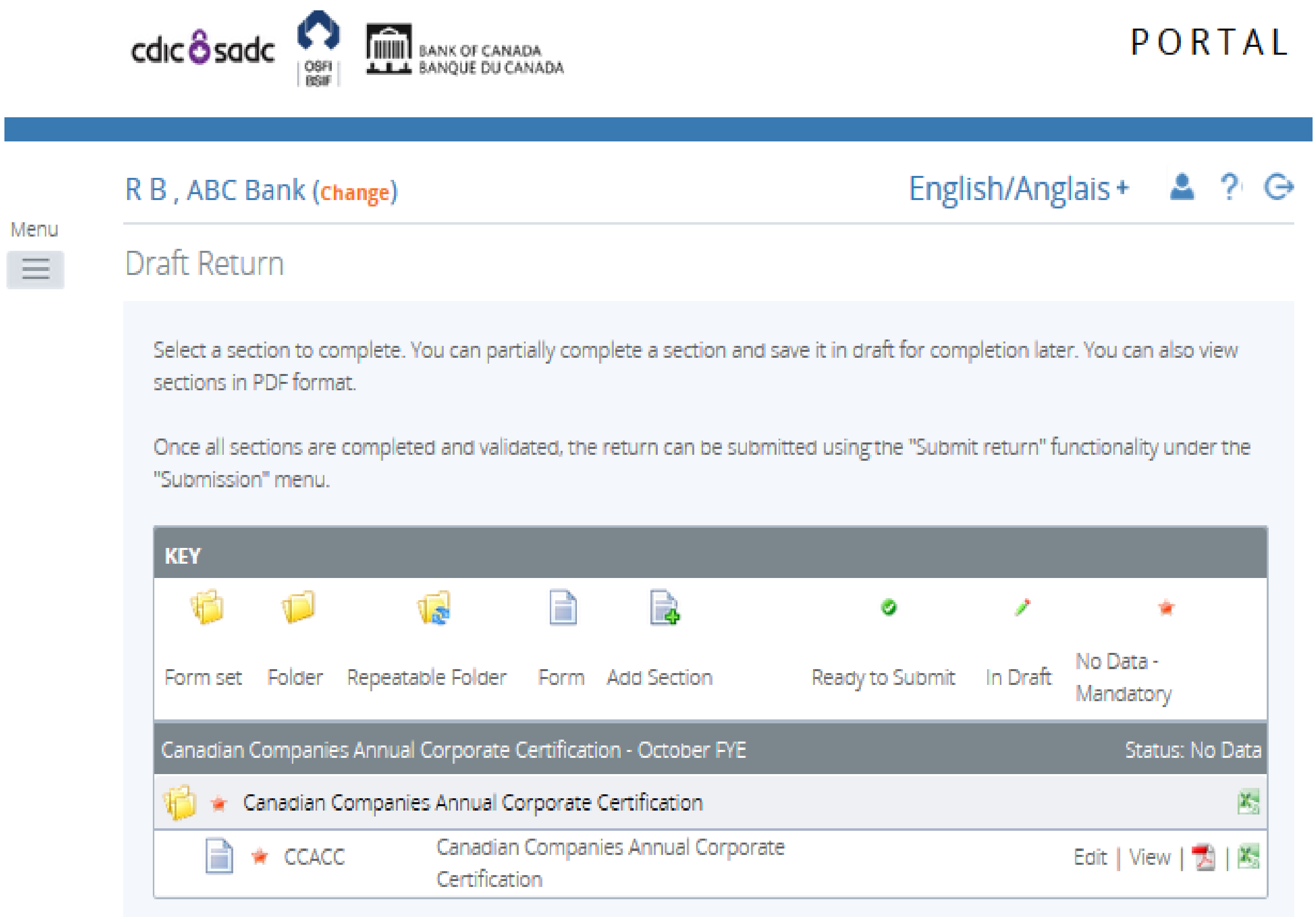


Figure 3.1-3: Draft Return Page

3. Click the **Edit** link.

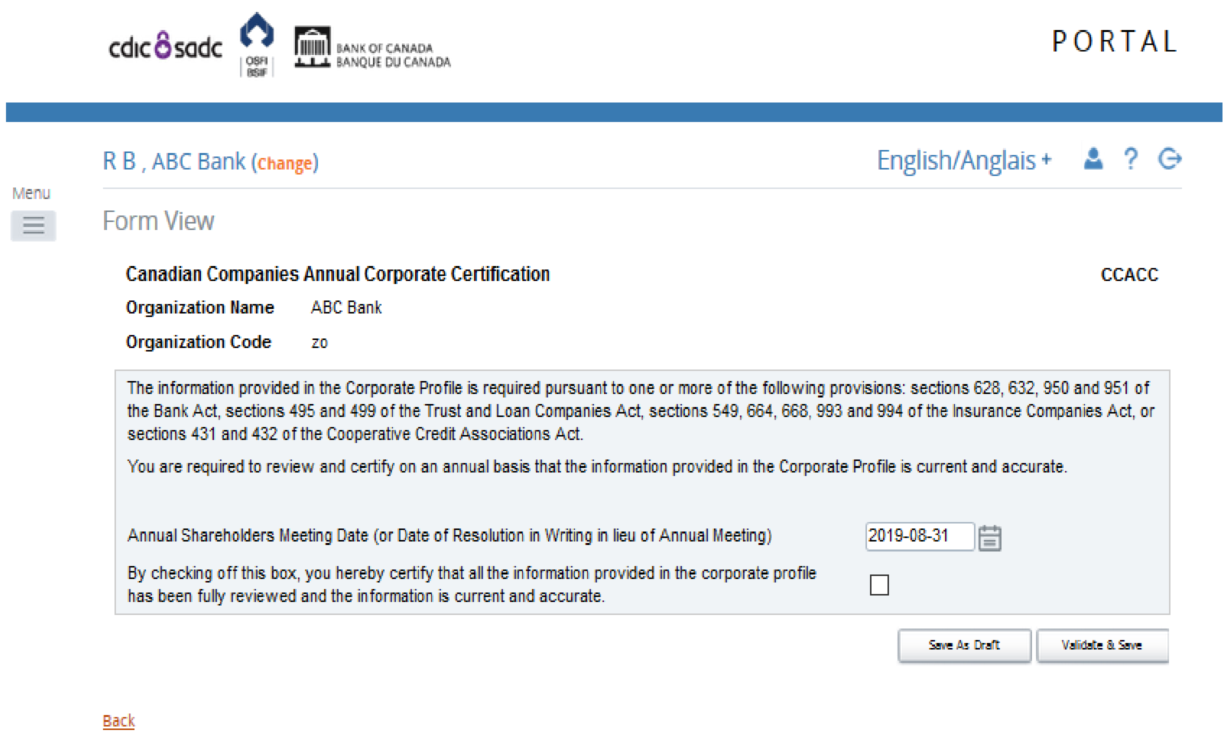


Figure 3.1-4: Display of Return Page

4. Enter data in the appropriate fields.

5. If necessary, scroll to the bottom right of the return.

At this point the return can be either saved as a draft or validated and saved. Saving a return as a draft leaves it on the Draft Returns page with a status of *In Draft* meaning it has not been validated. Validating and saving the return indicates that the return is complete and ready for attempted submission.

6. Click the **Validate & Save** button.

	If your return fails structural rules:
	A message would have been displayed **on-screen** informing you that there was an issue with the return that would need to be corrected prior to submission. See *Section 3.3* for more information on errors.

7. Hover your mouse over the **Submission** menu item.

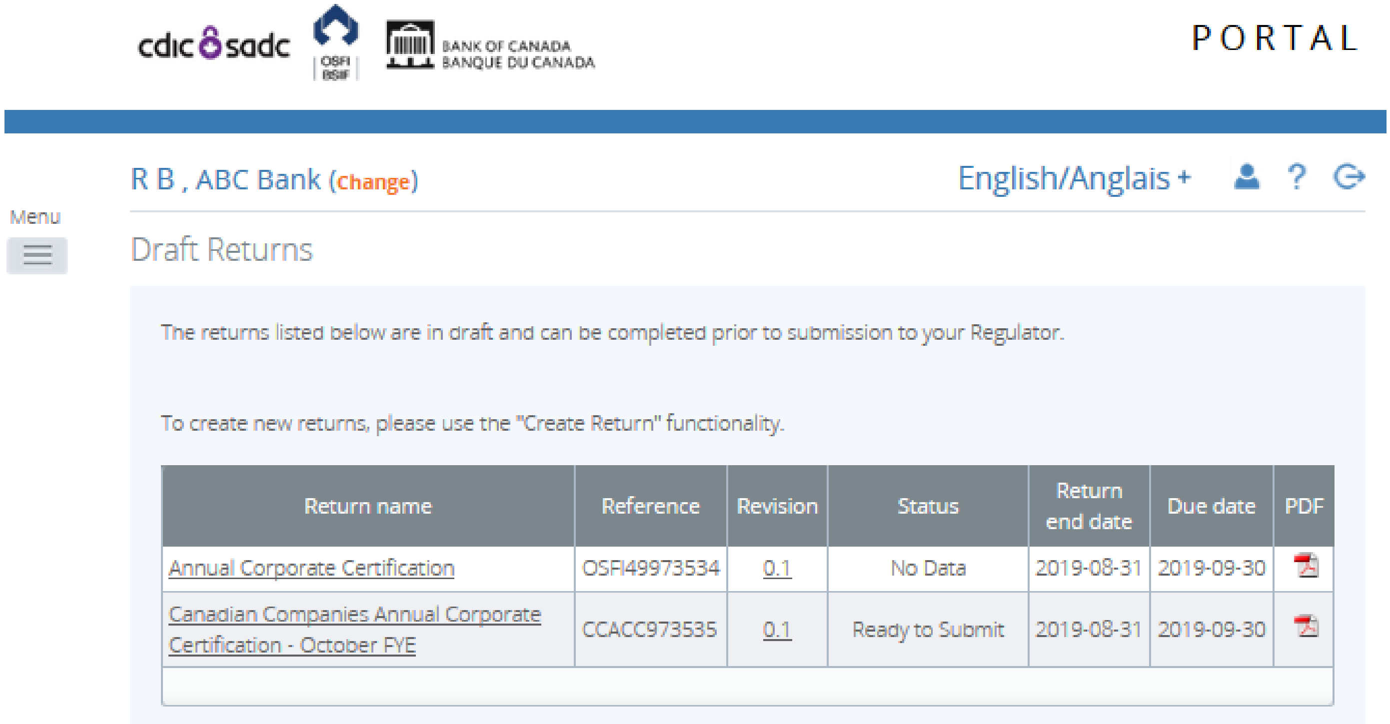


Figure 3.1-5: Submission Menu Drop-Down Page

8. Click the **Submit Return** sub-menu item. The Submit Return page displays a list of returns that are ready to be submitted.

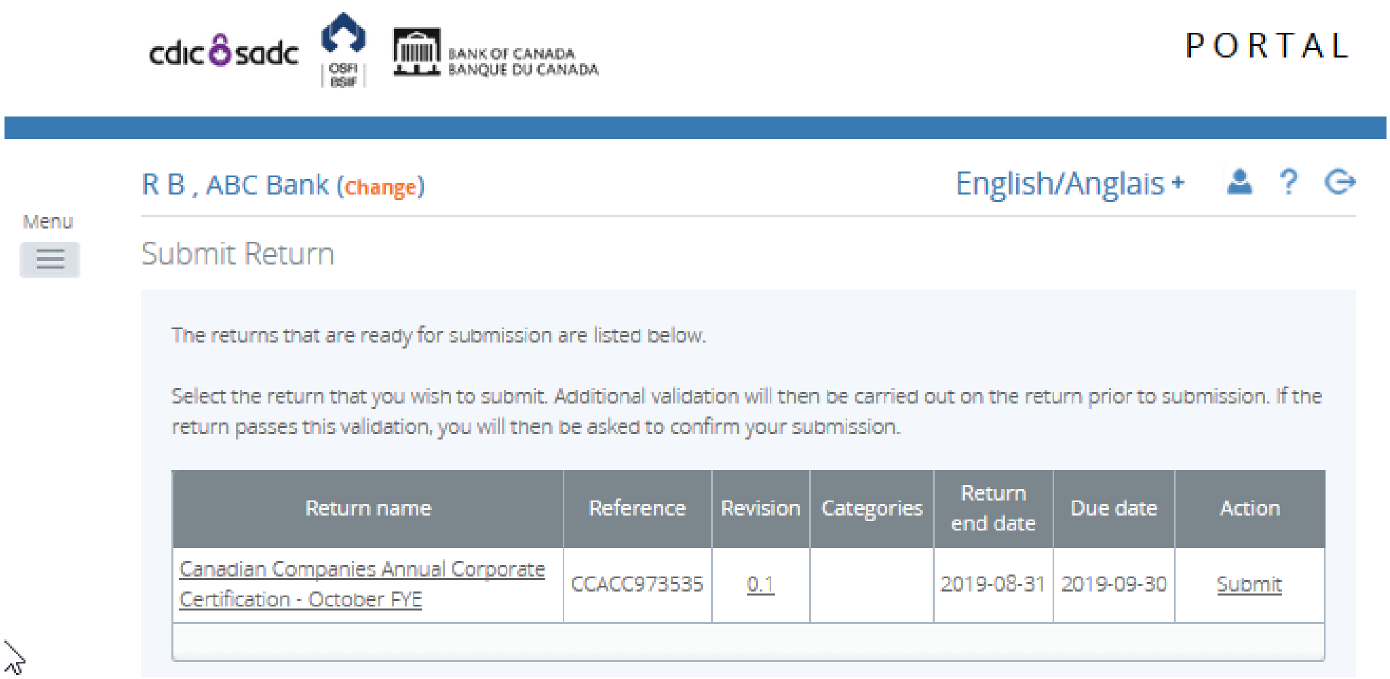


Figure 3.1-6: Submit Return Page

9. In the Action column, click the **Submit** link of the return to be submitted.

10. Click **Submit**.

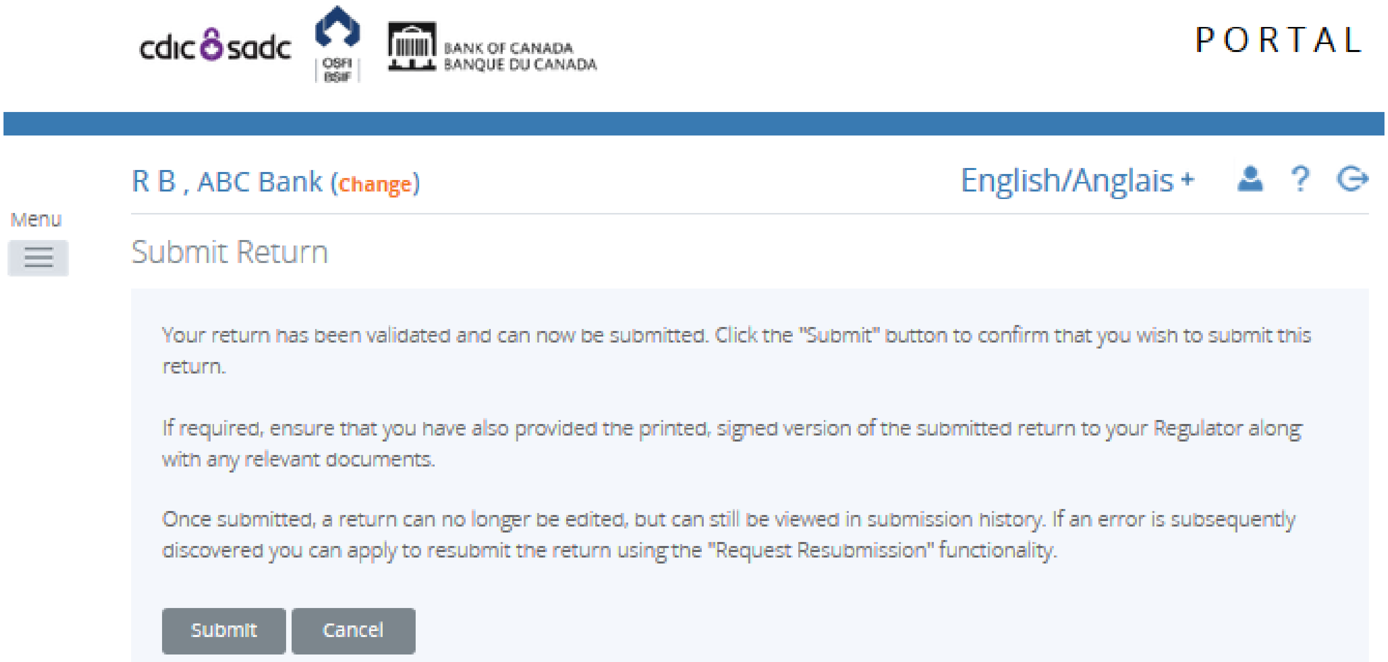


Figure 3.1-7: Submit Return - Submit Button Page

	NOTE
	Once the return has been successfully submitted, the Organization Profile will be automatically updated. Please verify that the changes are reflected in the Organization Profile.

	If your return fails validation rules:
	A message would have been displayed on-screen informing you that there was an issue with the return that would need to be corrected before it could be processed further. See *Section 3.3* for more information on errors.

3.2 General Instructions on How to View a Return

Returns can be viewed prior to and after being submitted. Use the Draft Returns menu item to view returns that have not been submitted and use the Submission History sub-menu item to view returns that have been submitted. These menu items can also be used to view the Audit Log of a return which is a record of each revision of a completed or in-draft return.

To view a draft return:

Begin at the Welcome page.

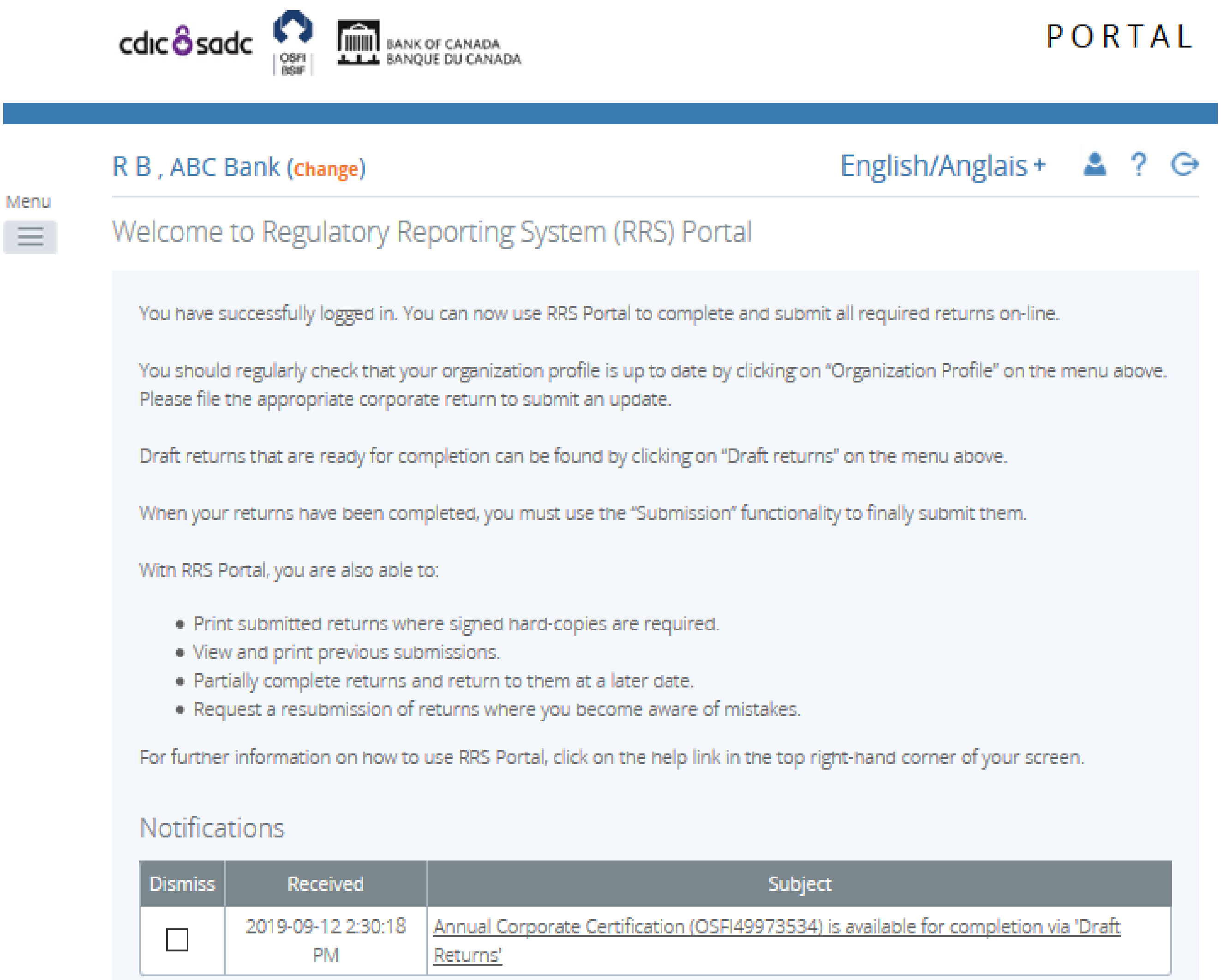
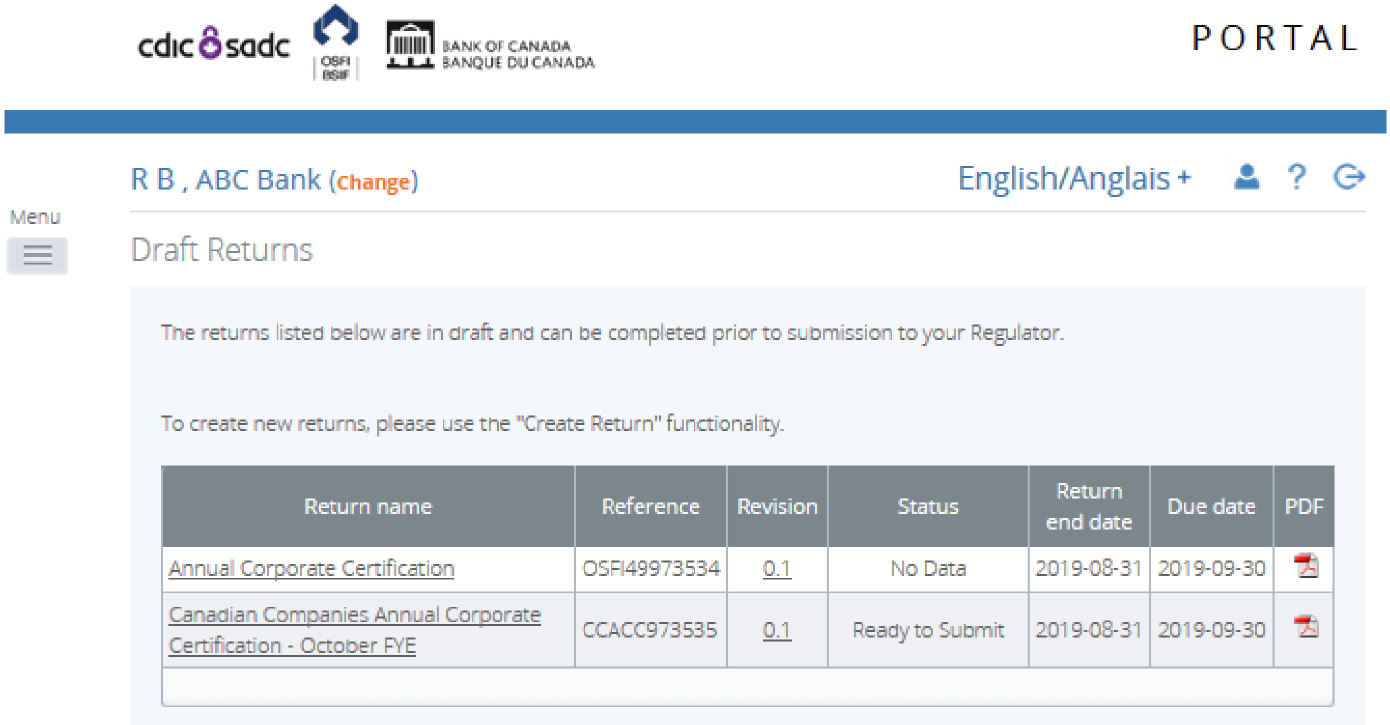


Figure 3.2-1: Welcome Page

1. Click the **Draft Returns** menu item.



PORTAL

R B , ABC Bank (change) English/Anglais +

Menu

Draft Returns

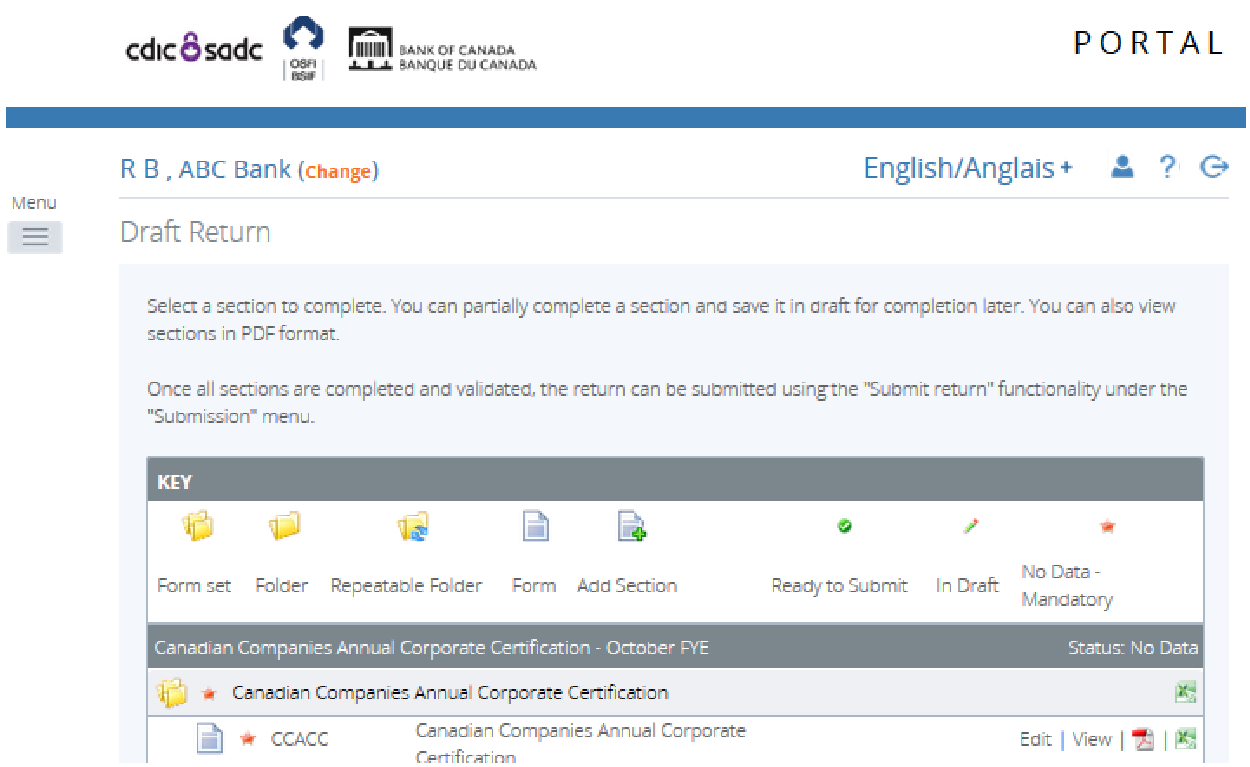
The returns listed below are in draft and can be completed prior to submission to your Regulator.

To create new returns, please use the "Create Return" functionality.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
Annual Corporate Certification	OSFI49973534	0.1	No Data	2019-08-31	2019-09-30	
Canadian Companies Annual Corporate Certification - October FYE	CCACC973535	0.1	Ready to Submit	2019-08-31	2019-09-30	

Figure 3.2-2: Draft Returns Page

2. Click the name of the return to be viewed.



PORTAL

R B , ABC Bank (change) English/Anglais +

Menu

Draft Return

Select a section to complete. You can partially complete a section and save it in draft for completion later. You can also view sections in PDF format.

Once all sections are completed and validated, the return can be submitted using the "Submit return" functionality under the "Submission" menu.

KEY

Form set | Folder | Repeatable Folder | Form | Add Section | Ready to Submit | In Draft | No Data - Mandatory

Canadian Companies Annual Corporate Certification - October FYE Status: No Data

Canadian Companies Annual Corporate Certification

CCACC Canadian Companies Annual Corporate Certification Edit | View |

Figure 3.2-3: Draft Return Page

3. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.

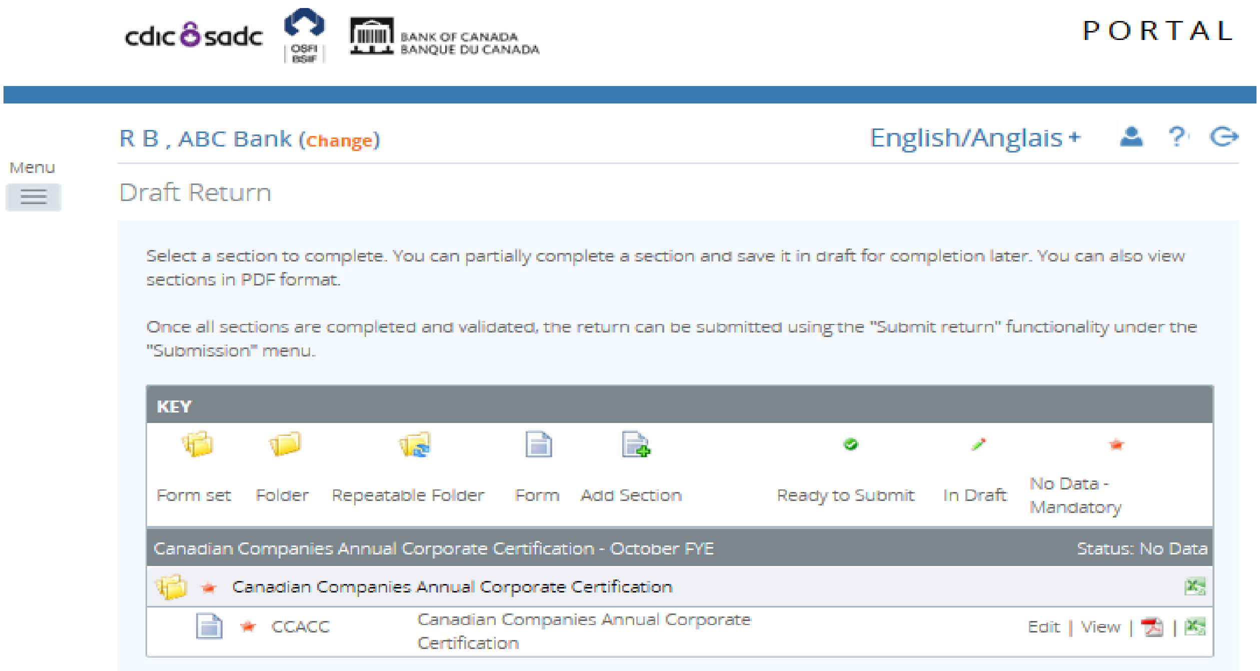


Figure 3.2-4: Display of Return Page

4. If necessary, use the scroll bars to view the draft return.

To view the audit log of a draft return:

Begin at the Draft Returns page.

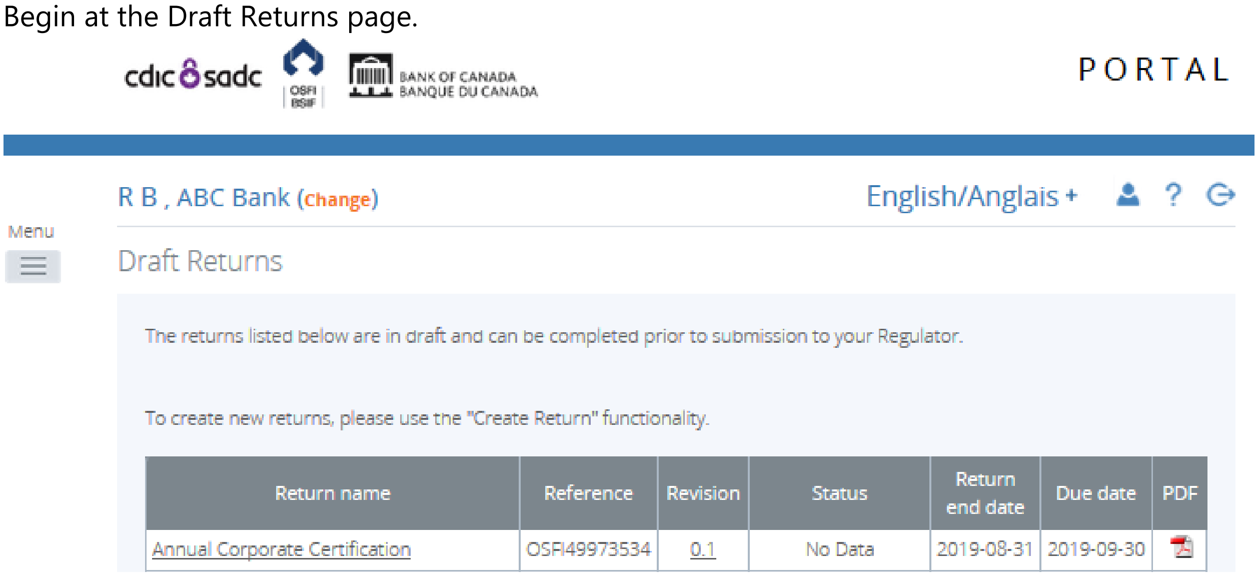


Figure 3.2-5: Draft Returns Page

1. Click the revision number of the return. The View Audit Log page opens displaying

information such as what action was taken, who performed the action and when it was done.

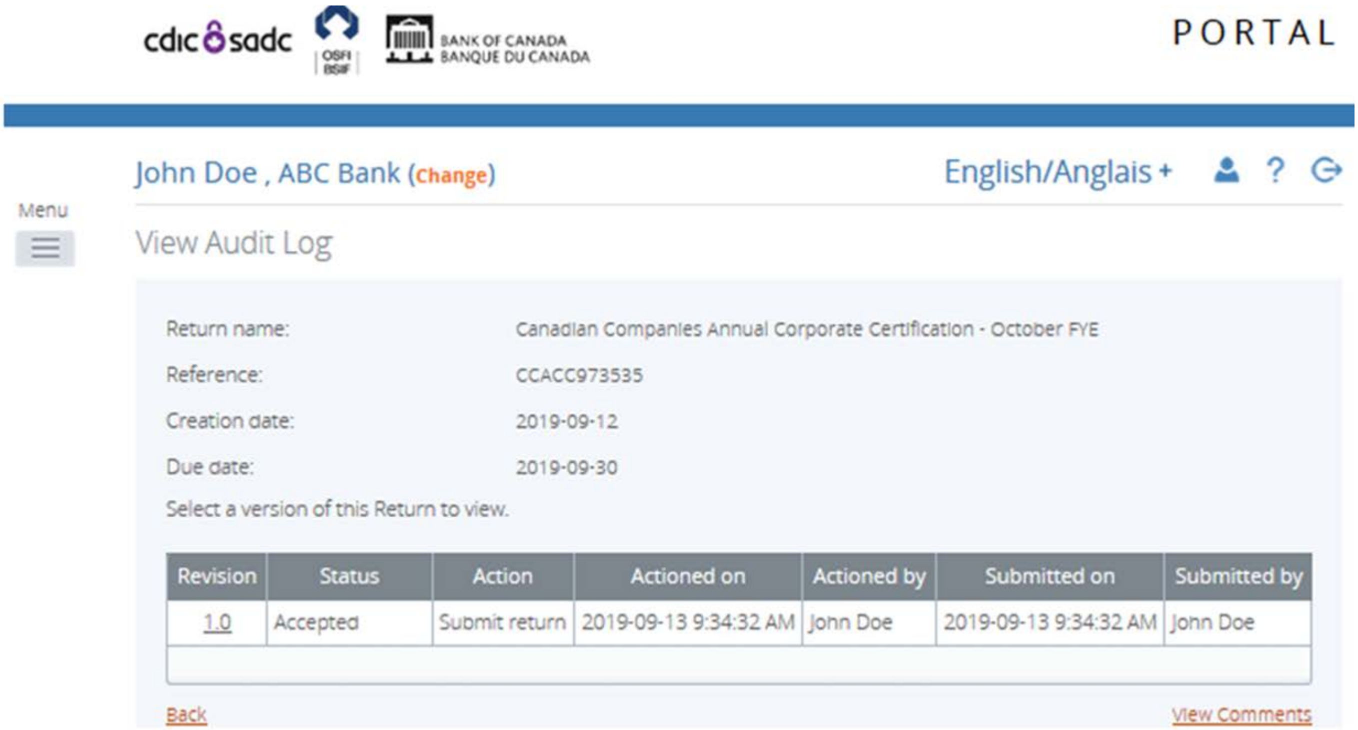


Figure 3.2-6: View Audit Log Draft Page

<u>To view a submitted return:</u>

Begin at the Welcome page.

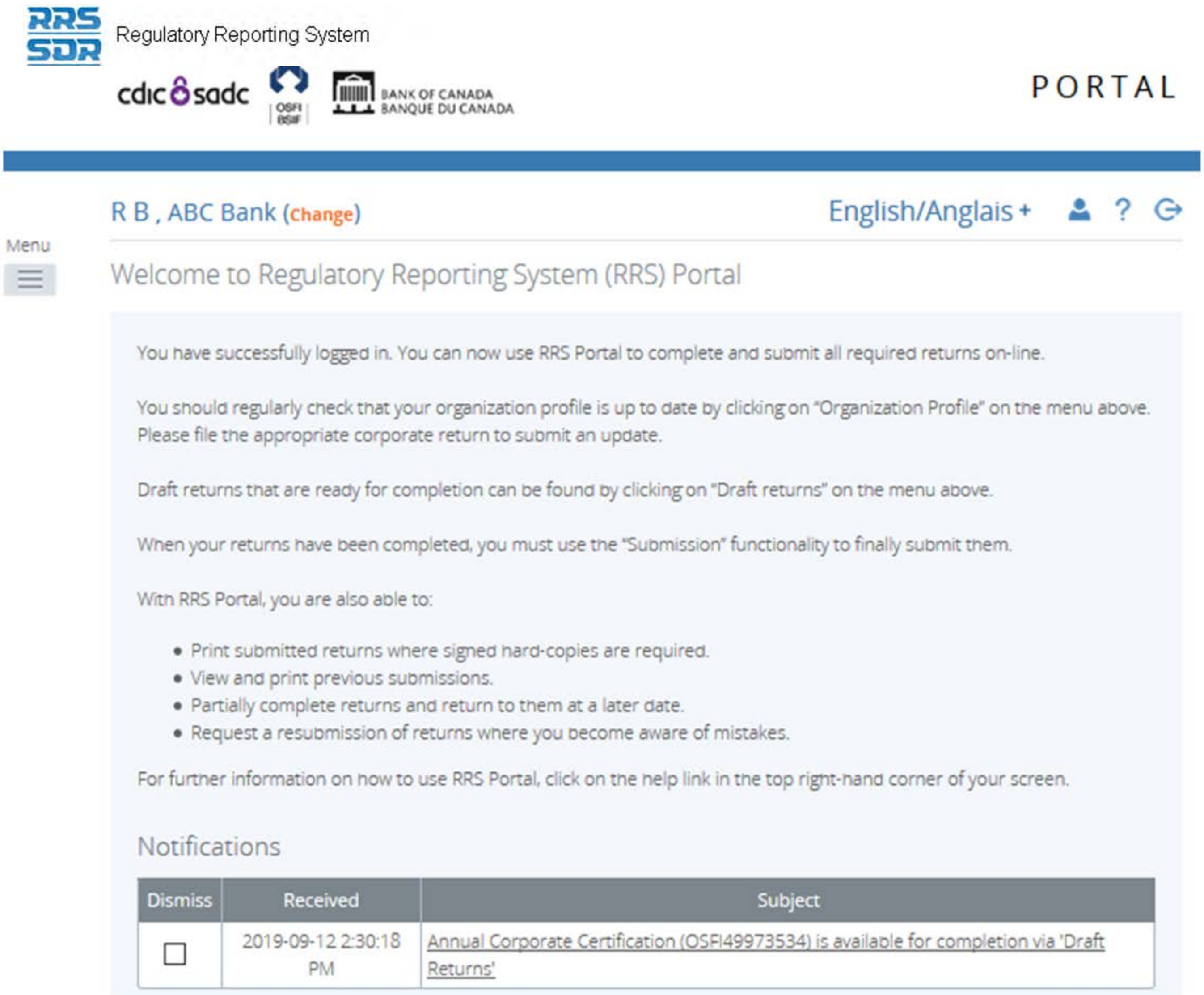


Figure 3.2-7: Welcome Page

1. Hover your mouse over the **Submission** menu item.
2. Click the **Submission History** sub-menu item.

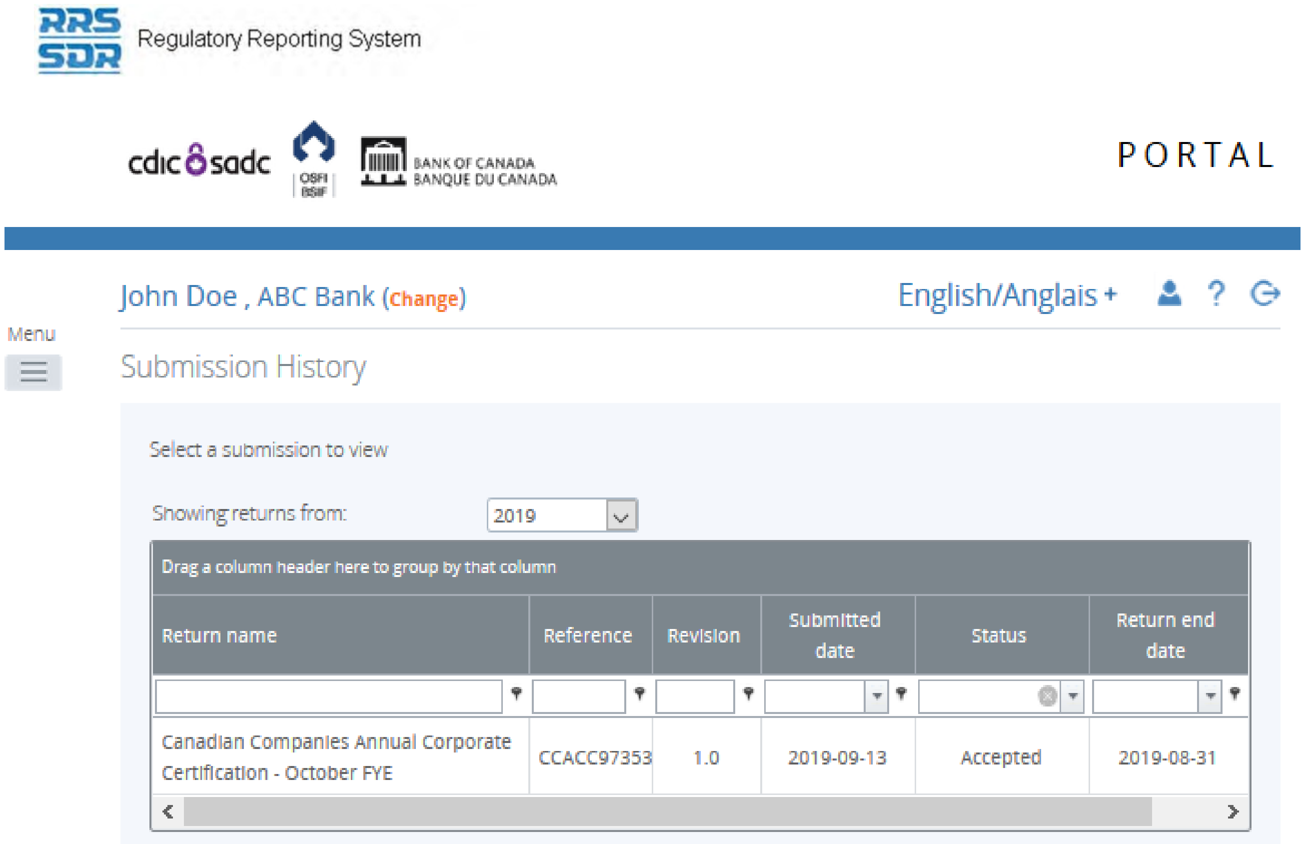


Figure 3.2-8: Submission History Page

	Return Revision
	The revision column of the Submission History page displays the current revision number of the return. Submitted returns display on this page as revision 1.0 for the first submission and each subsequent submission increases by a whole number such as 2.0, 3.0, etc. Some returns cannot be revised once submitted. For further details, please refer to the General Instructions for each return type located under Documents/Portal Documents/English/Return Instructions/Corporate Returns.

3. Click the name of the return to be viewed.

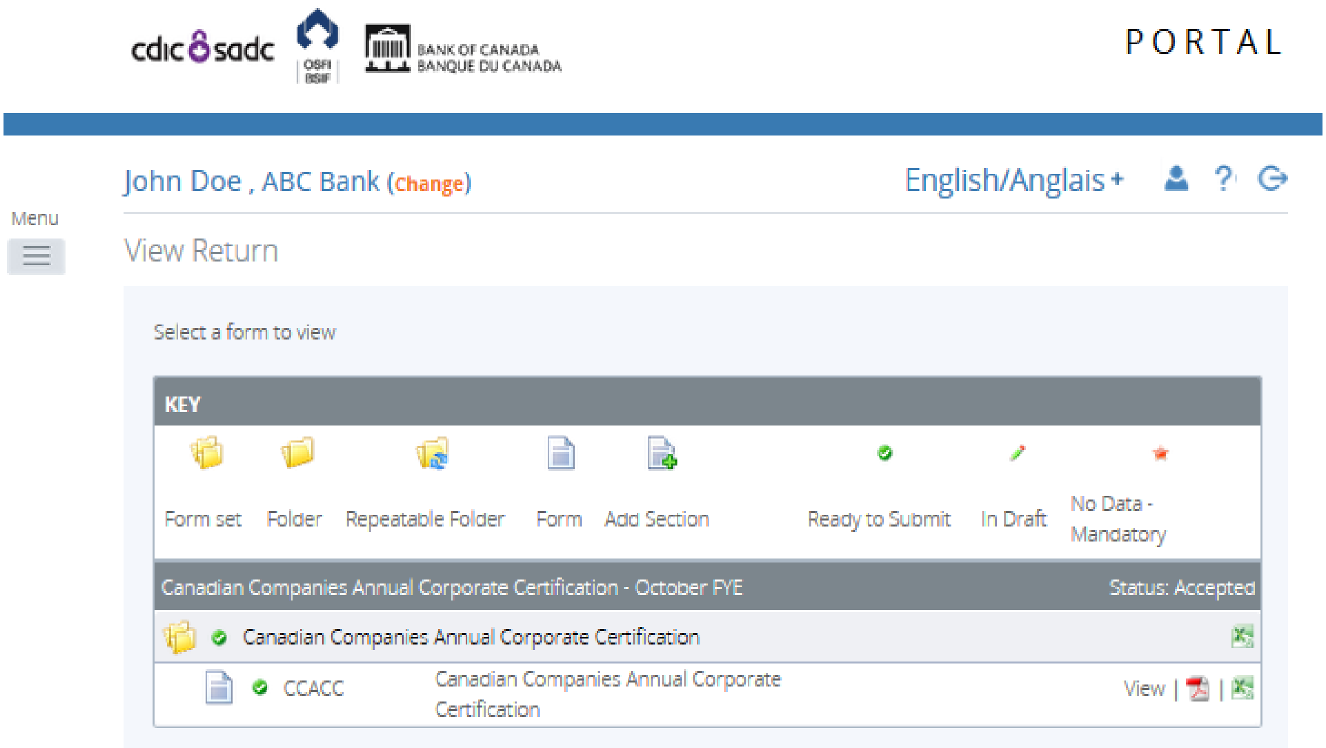


Figure 3.2-9: View Return Page

4. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.

5. If necessary, use the scroll bars to view the submitted return.

<u>To view the audit log of a submitted return:</u>

Begin at the Submission History page.

1. Click the revision number of the return. The Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.

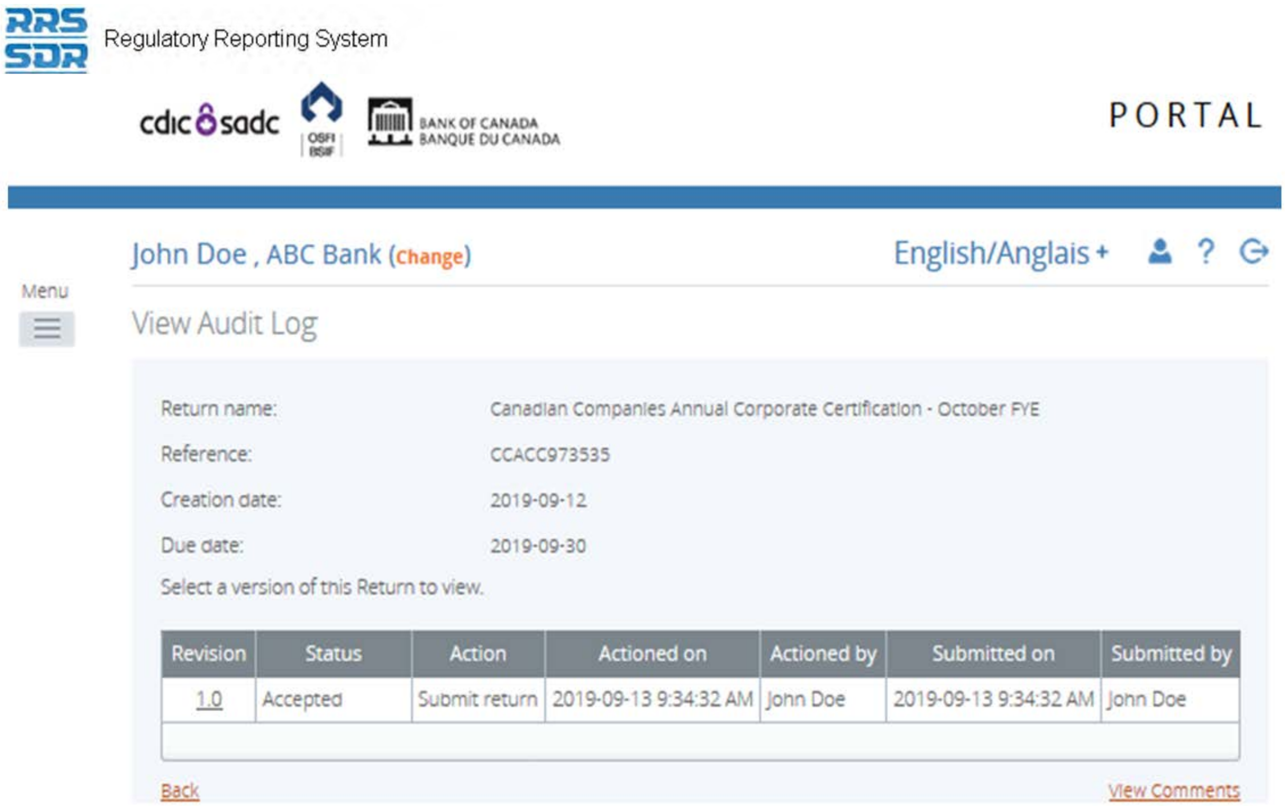


Figure 3.2-10: View Audit Log Submit Page

	Request Return Resubmission
	Request Resubmissions are only permitted with Corporate Returns that do not affect your Organization Profile. To correct any errors on a previously submitted corporate return, please contact the Returns Administration group at OSFI at (613) 991-0609 for assistance in correcting submitted corporate information.

3.3 General Instructions on How to View Errors

<u>To view errors:</u>

Begin at the Welcome page.

1. Click the **Draft Returns** menu item.

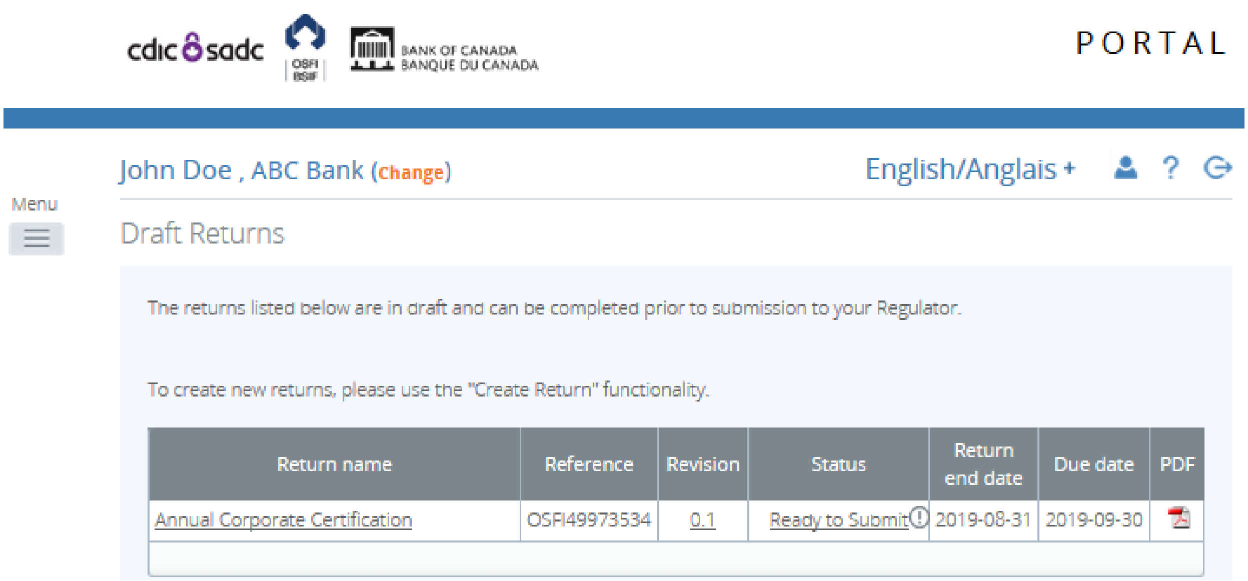


Figure 3.3-1: Draft Returns Page

2. Locate a return with an error icon next to the status (circle with an exclamation mark)
3. Click the error icon or the status to open the **Validation Issues** page.

Regulatory Reporting System

PORTAL

John Doe , ABC Bank (Change)

English/Anglais +

Menu

Validation Issues

This return was submitted with errors and/or warnings which are displayed below.

Rule name	Type	Problem	Additional information
OSFI49-11	Error	1. Page 020.012, Line 009: Total Exits must be equal to the sum of Lines 006 and 008.	
OSFI49-13	Error	2. Page 020.012, Line 011: Number of Members at plan year end must equal Line 005 minus Line 009.	
OSFI49-28	Error	3. Page 020.012, Line 034: Total Male (Column 001) must equal the sum of all males in the various locations of employment (Lines 015-030).	
OSFI49-29	Error	4. Page 020.012, Line 034: Total Female (Column 002) must equal the sum of all females in the various locations of employment (Lines 015-030).	
OSFI49-30	Error	5. Page 020.012, Line 034: Included Employment Total (Column 003) must equal the sum of the Included Employment categories in the various locations of employment (Lines 015-030).	
OSFI49-62	Error	6. Page 020.010, Line 045: Number of Months must equal the number of months between the From Date and the To Date.	
OSFI49-64	Error	7. Page 020.012, Line 035: Total Membership must equal to the total of male and female members (Line 034, Columns 001 and 002).	
OSFI49-65	Error	8. Page 020.012, Line 035: Total Membership must be equal to Number of members at Plan Year End (Line 011).	
OSFI49-66	Error	9. Page 020.012, Line 038: Grand Total must be the sum of Line 035 and Line 036.	

Back

Figure 3.3-2: Validation Issues Page

4. View the error message.

	Warnings
	Warnings will not prevent you from submitting your return, it is simply a warning to advise you that you are either making a change to a mandatory role or that one of your mandatory roles is missing from your Organization Profile.

3.4 General Instructions on How to Correct Validation Errors on a Return

If a return does not pass validation, you will be informed via an error message that displays on-screen. The error message specifies the rule, or rules, that have failed. You will need to correct the data in order to submit the return.

Begin at the Draft Returns page.

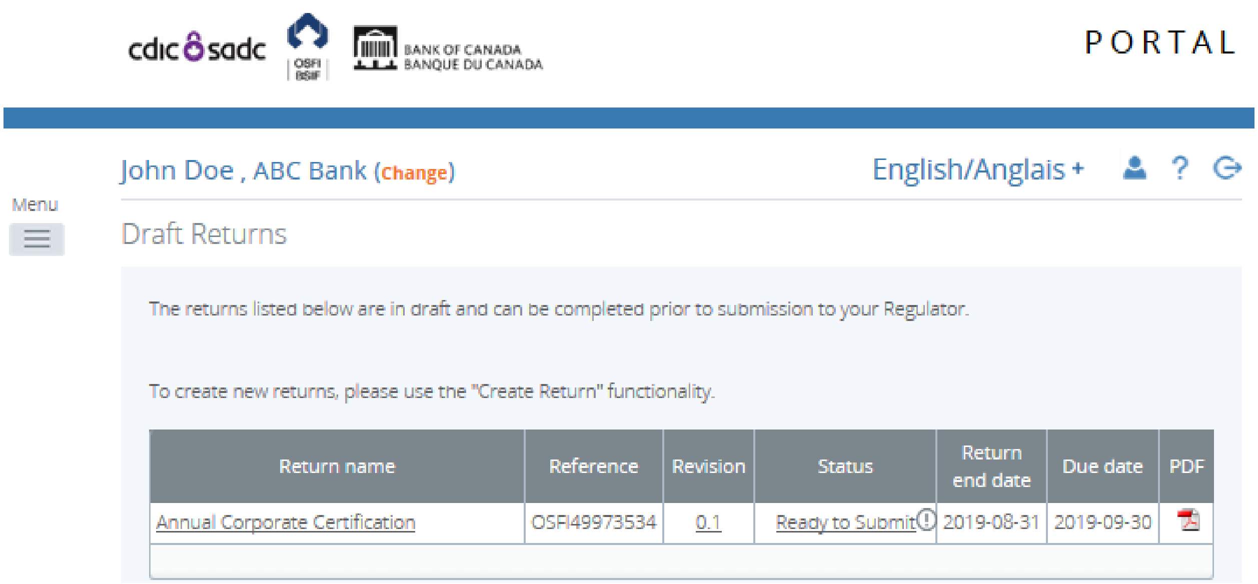


Figure 3.4-1: Draft Returns Page

1. Click the return name to open the return.

Figure 3.4-2: Draft Return Page

2. Click the **Edit** link.

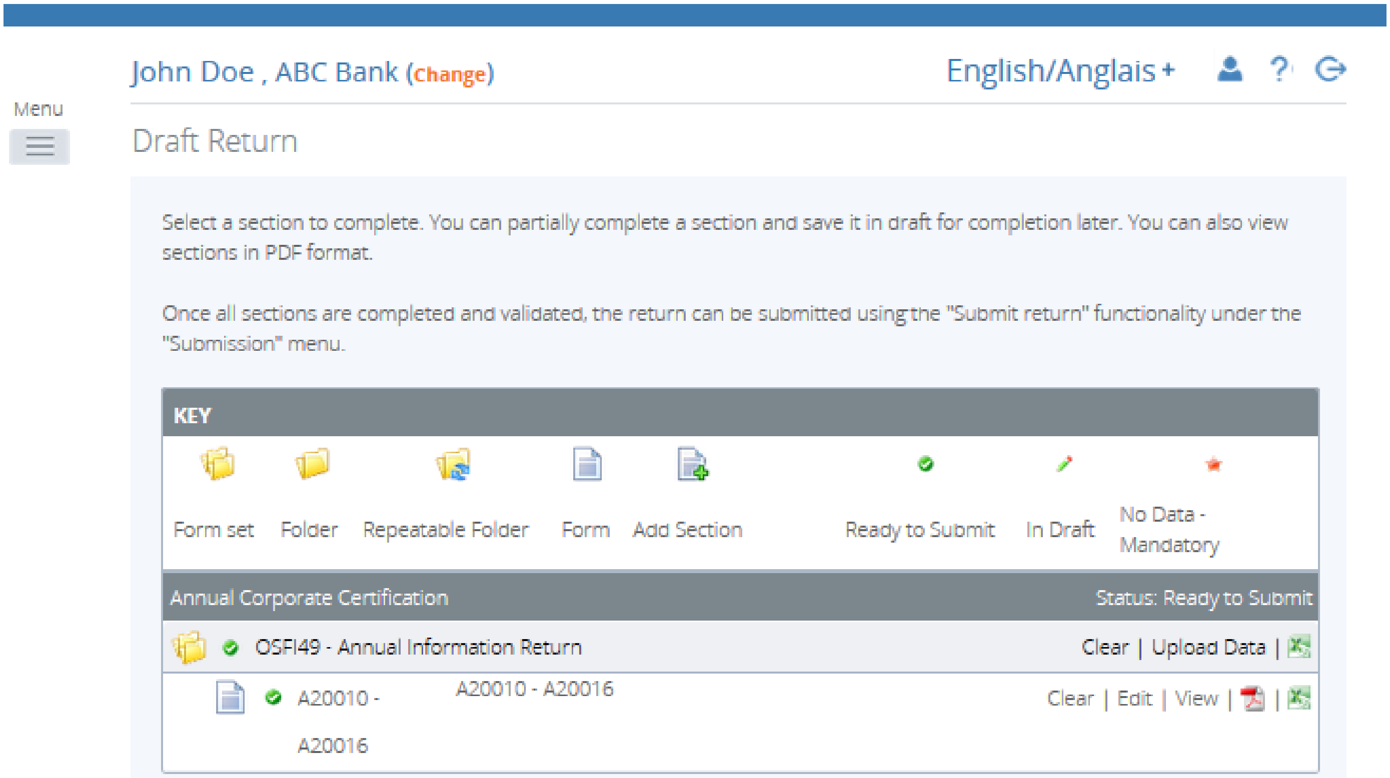


Figure 3.4-3: Display of Return Page

3. Correct the appropriate data.
4. Click **Validate & Save**. The return is updated and now ready to be re-submitted.
5. Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

3.5 General Instructions on How to Create a Corporate Return

As described at the beginning of this section, Scenario #2 details an event that triggers the need for a corporate return to be created by your organization or plan and submitted. An example of this type of event is a change in your organization's business mailing address.

<u>To create a corporate return:</u>

Begin at the Welcome page.

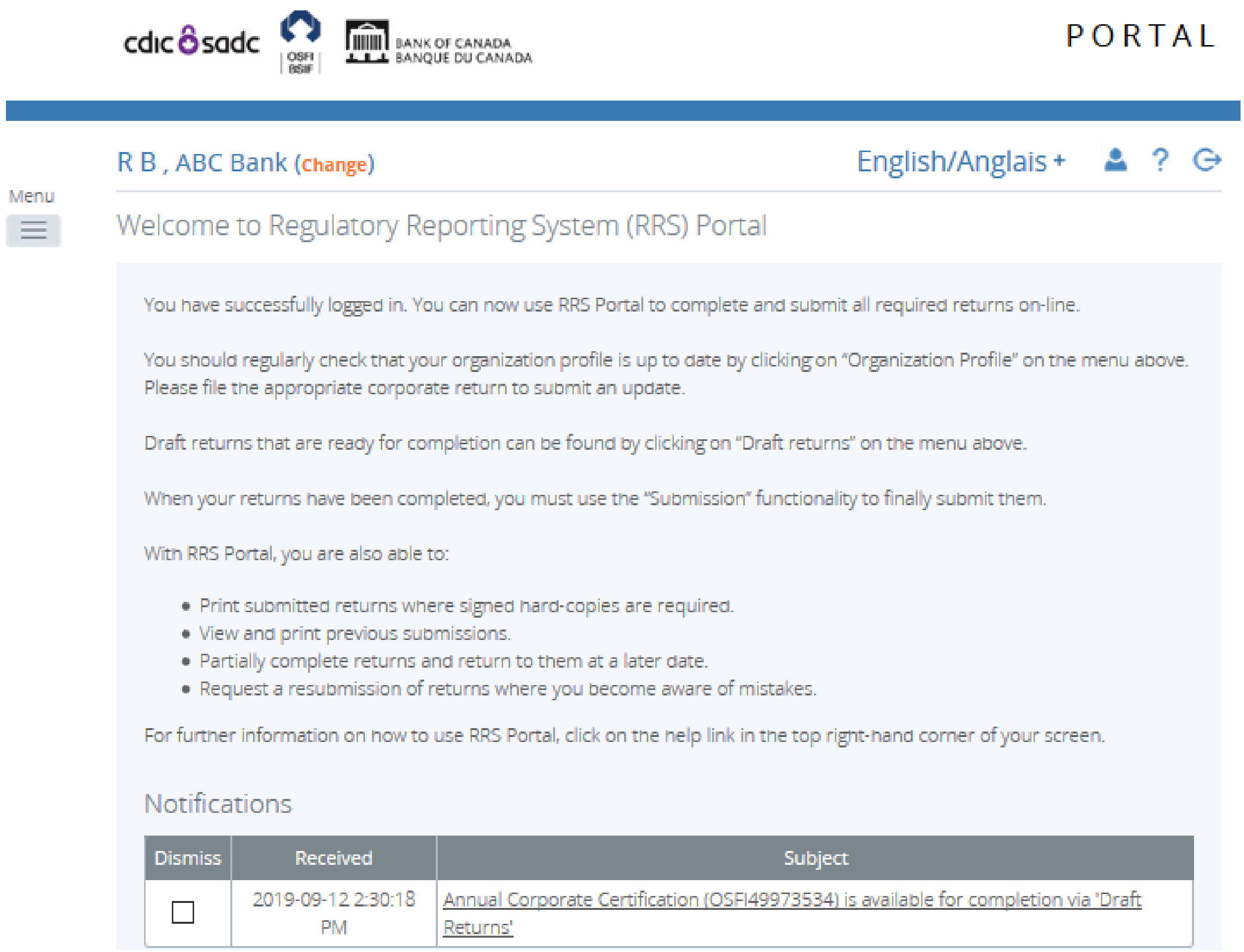


Figure 3.5-1: Notifications Page

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

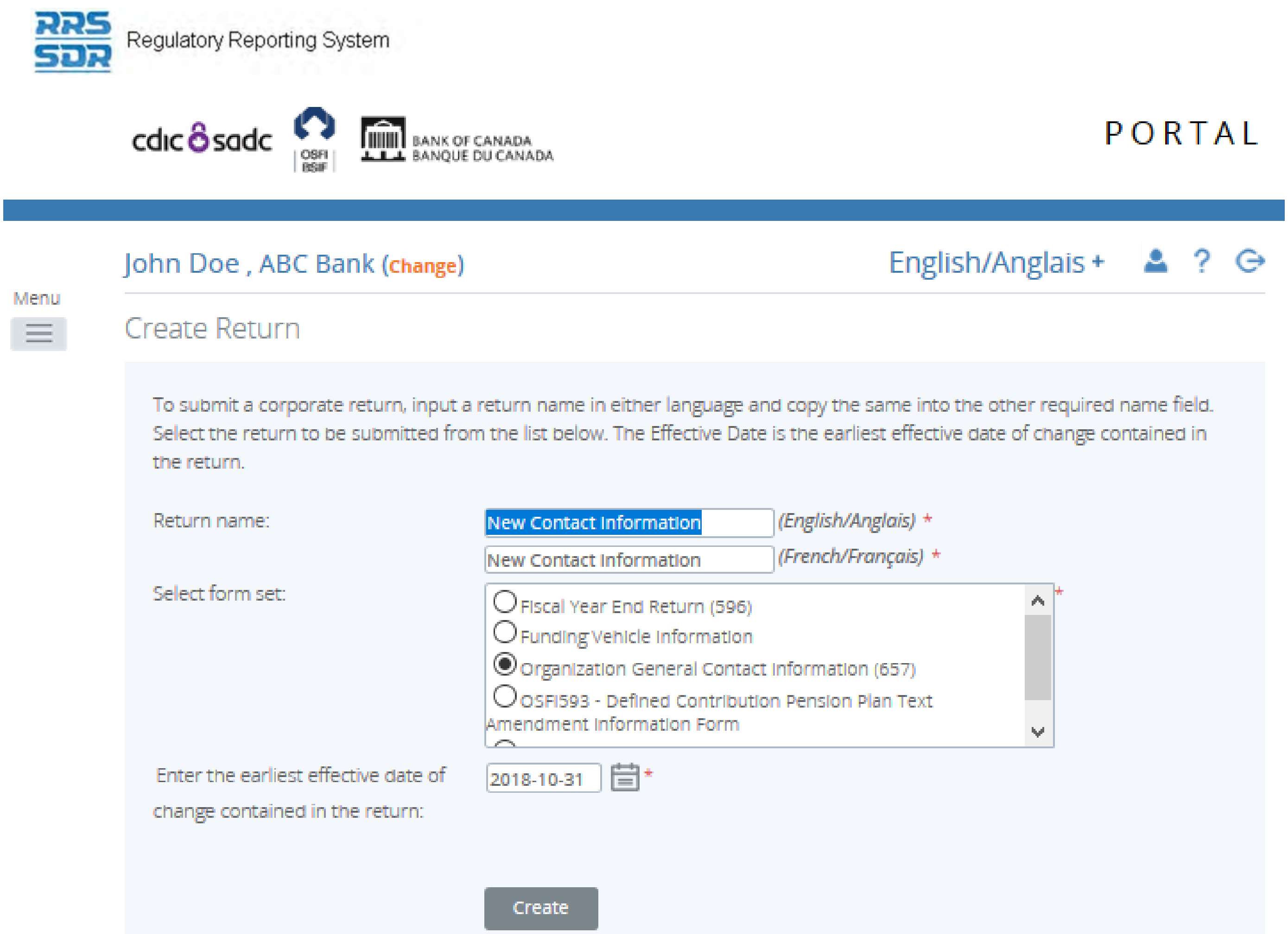


Figure 3.5-2: Create Return Page

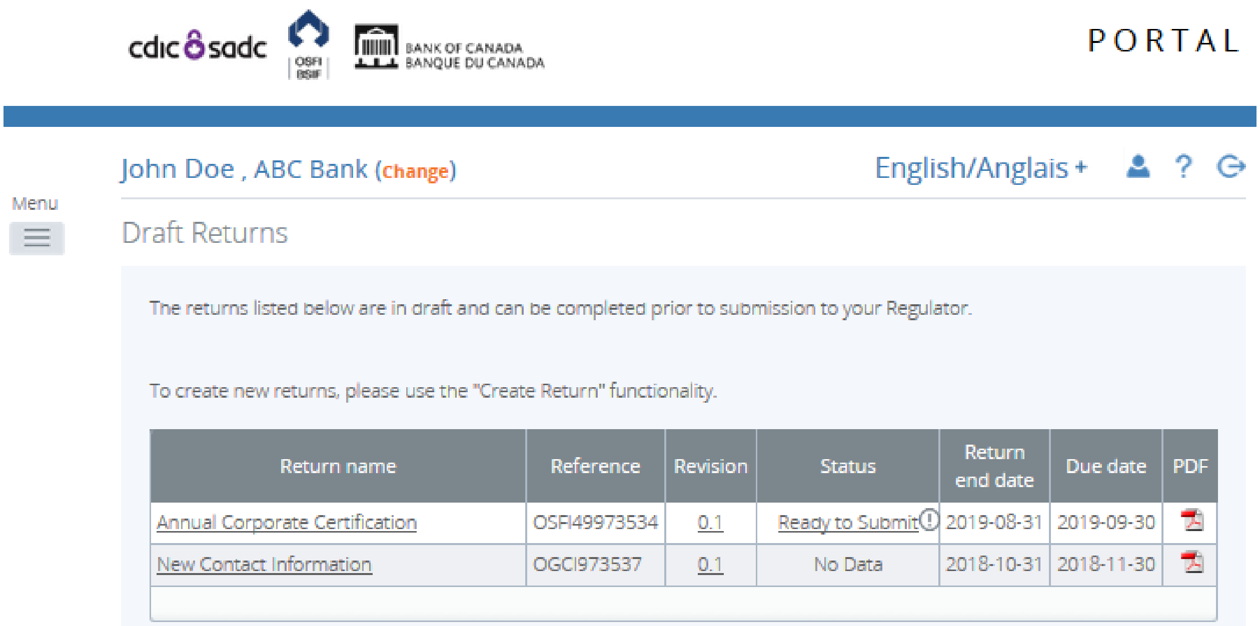
	Return Name
	You will want to choose a name that will be meaningful for you or your organization. The text does not need to be bilingual, but it does need to be entered in both the English and French text fields. This name will also be referred to when looking for returns under your submission history tab.

3. Enter an English and French name for the return (see example above).
4. Select the appropriate corporate return that you want to create for your organization or plan.
5. Enter the earliest effective date of change.
6. Click the **Create** button.

Earliest effective date of change

Where multiple changes are being made within the same return, **you must enter the earliest effective date of change of all of the changes being made**. The system will not accept earlier dates within the return than the date you entered when creating your return.

Your corporate return is now ready for completion in the Draft Returns section of RRS.


cdic sadc OSFI BSIF BANK OF CANADA BANQUE DU CANADA PORTAL

John Doe , ABC Bank (change) English/Anglais +

Menu

Draft Returns

The returns listed below are in draft and can be completed prior to submission to your Regulator.

To create new returns, please use the "Create Return" functionality.

Return name	Reference	Revision	Status	Return end date	Due date	PDF
Annual Corporate Certification	OSFI49973534	0.1	Ready to Submit	2019-08-31	2019-09-30	
New Contact Information	OGCI973537	0.1	No Data	2018-10-31	2018-11-30	

Figure 3.4-3: Draft Returns Page

Follow the steps outlined in Section 3.1 to submit this return.

Note:

For any changes to contact information, addresses must all be in uppercase letters and may not contain any special characters, telephone/fax numbers must not contain any dashes and email addresses must not contain any invalid characters, as per the Canada Post Guidelines.

3.6 General Instructions on How to Delete a Corporate Return from your Draft Folder

Corporate returns that have been created in error can be deleted prior to submission.

	Note:
	Once a corporate return has been submitted and accepted, that return can no longer be deleted. In order to delete a submission, please contact the Returns Administration group at OSFI at 613-991-0609.

To delete a draft corporate return:

Begin at the Draft Return page.

1. Hover your mouse over the Manage Returns menu item.

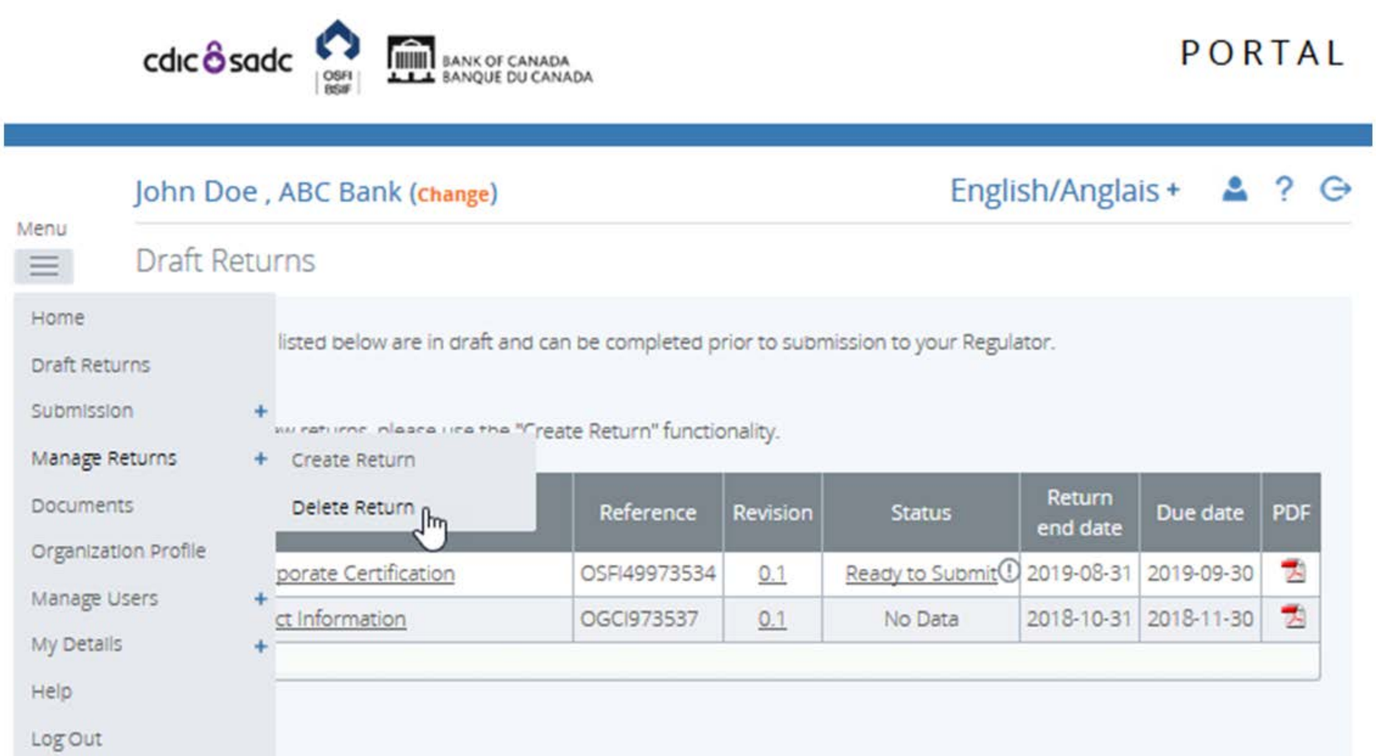


Figure 3.6-1: Manage Returns Drop-Down Page

2. Click **Delete Return**.

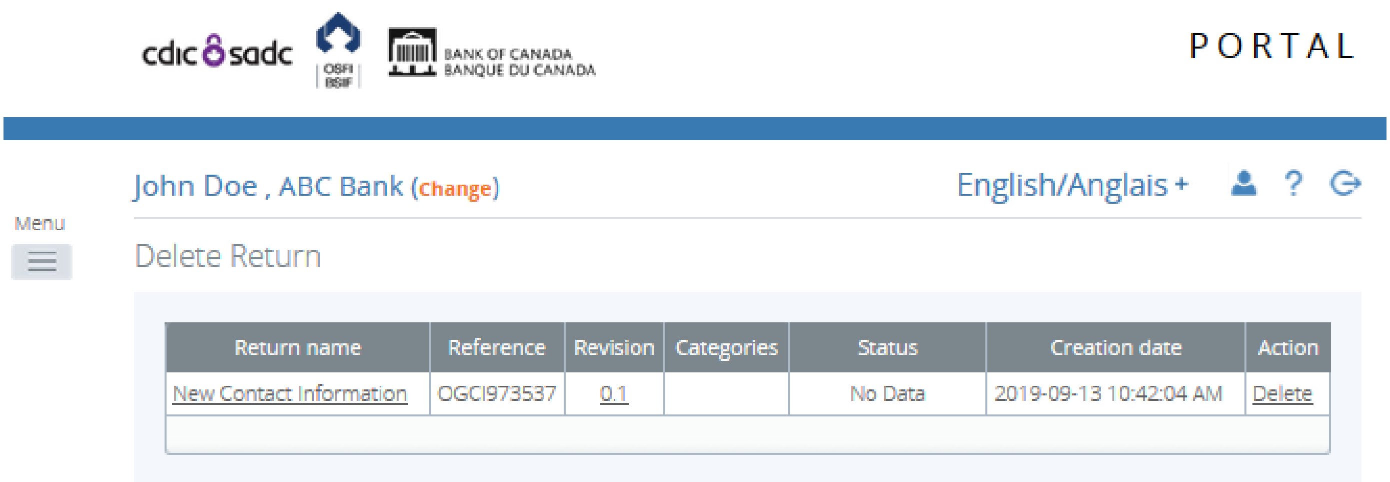


Figure 3.6-2: Delete Return Page

3. In the Action column, click the **Delete** link of the return to be deleted.

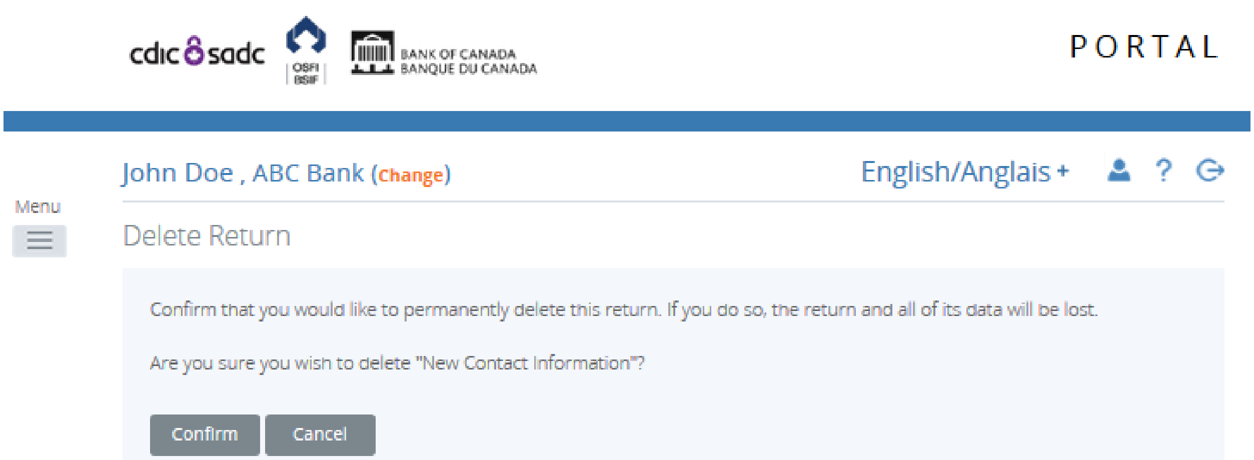


Figure 3.6-3: Delete Return Confirm Page

4. Click the **Confirm** button.

The return has now been deleted.

3.7 General Instructions on How to Request a Resubmission of a previously submitted Return

This scenario explains how to submit an amendment to an unstructured corporate return previously submitted by your organization or plan.

Request Resubmissions are only permitted with Corporate Returns that do not affect your Organization Profile. To correct any errors on a previously submitted corporate return, please contact the Returns Administration group at OSFI at (613) 991-0609 for assistance in correcting submitted corporate information.

<u>To request a resubmission of your return:</u>

Begin at the Welcome page.

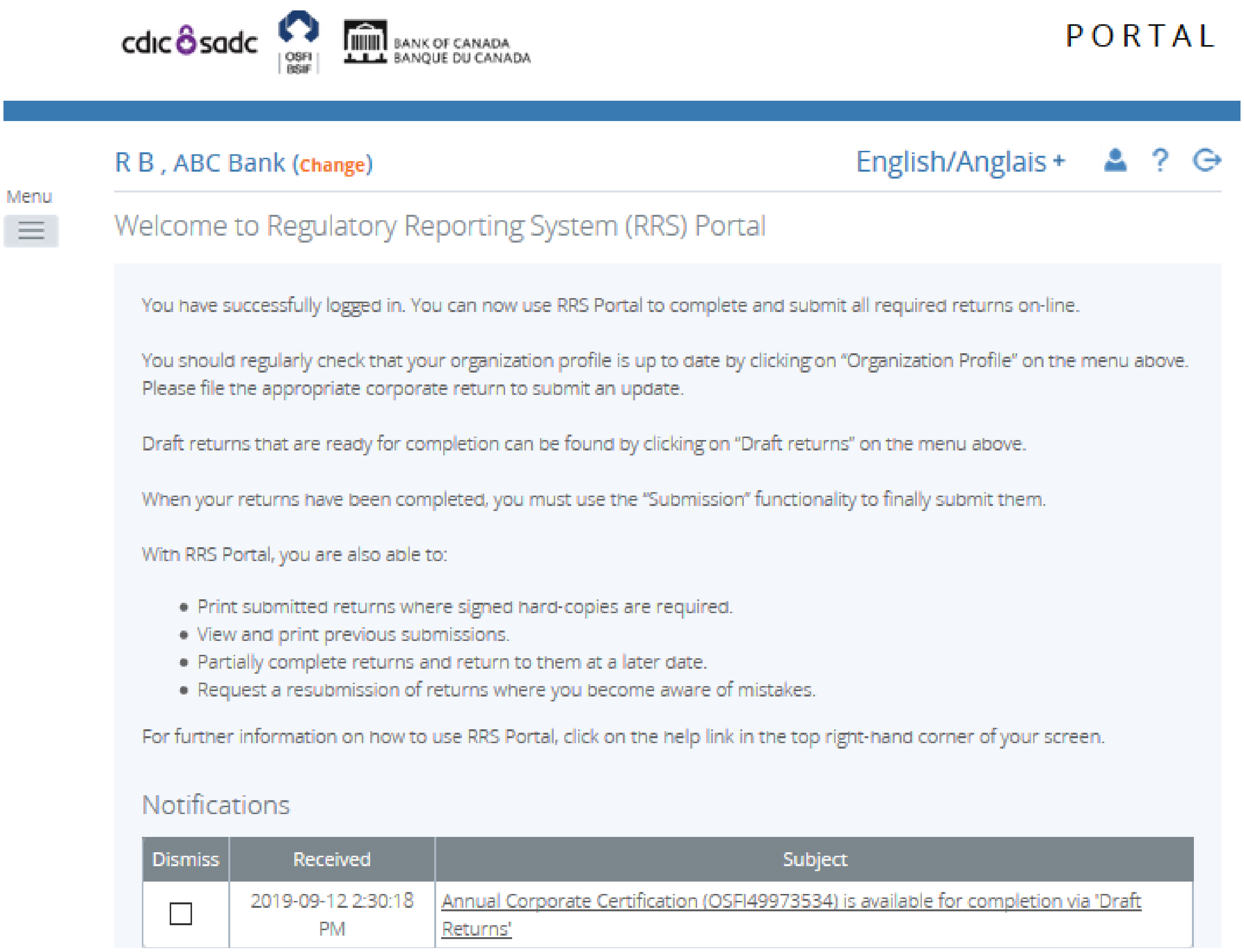


Figure 3.7-1: Welcome Page

1. Hover your mouse over the Submission menu item.

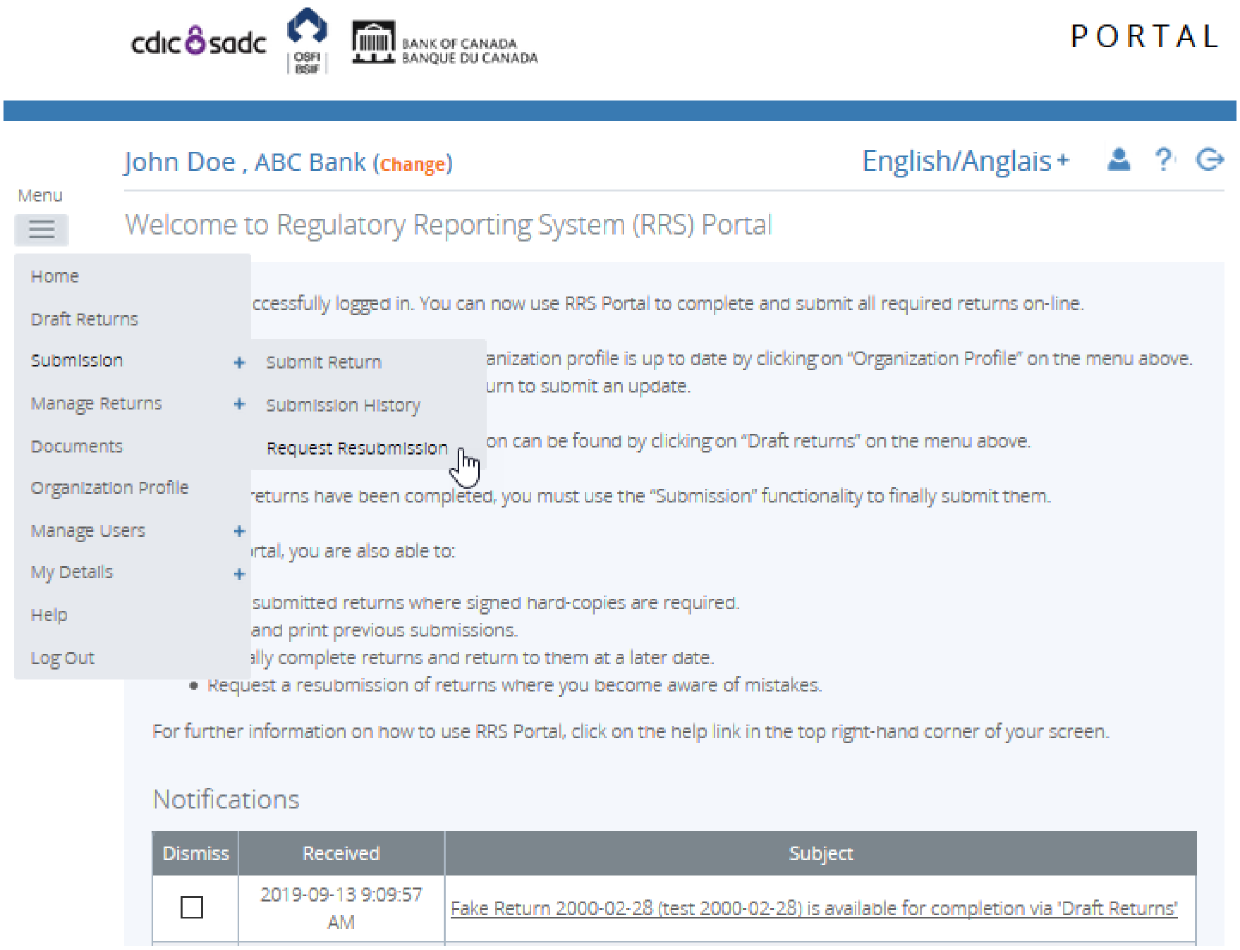


Figure 3.7-2: Welcome Page

2. Click on Request Resubmission.

3. Search for the return you wish to resubmit.

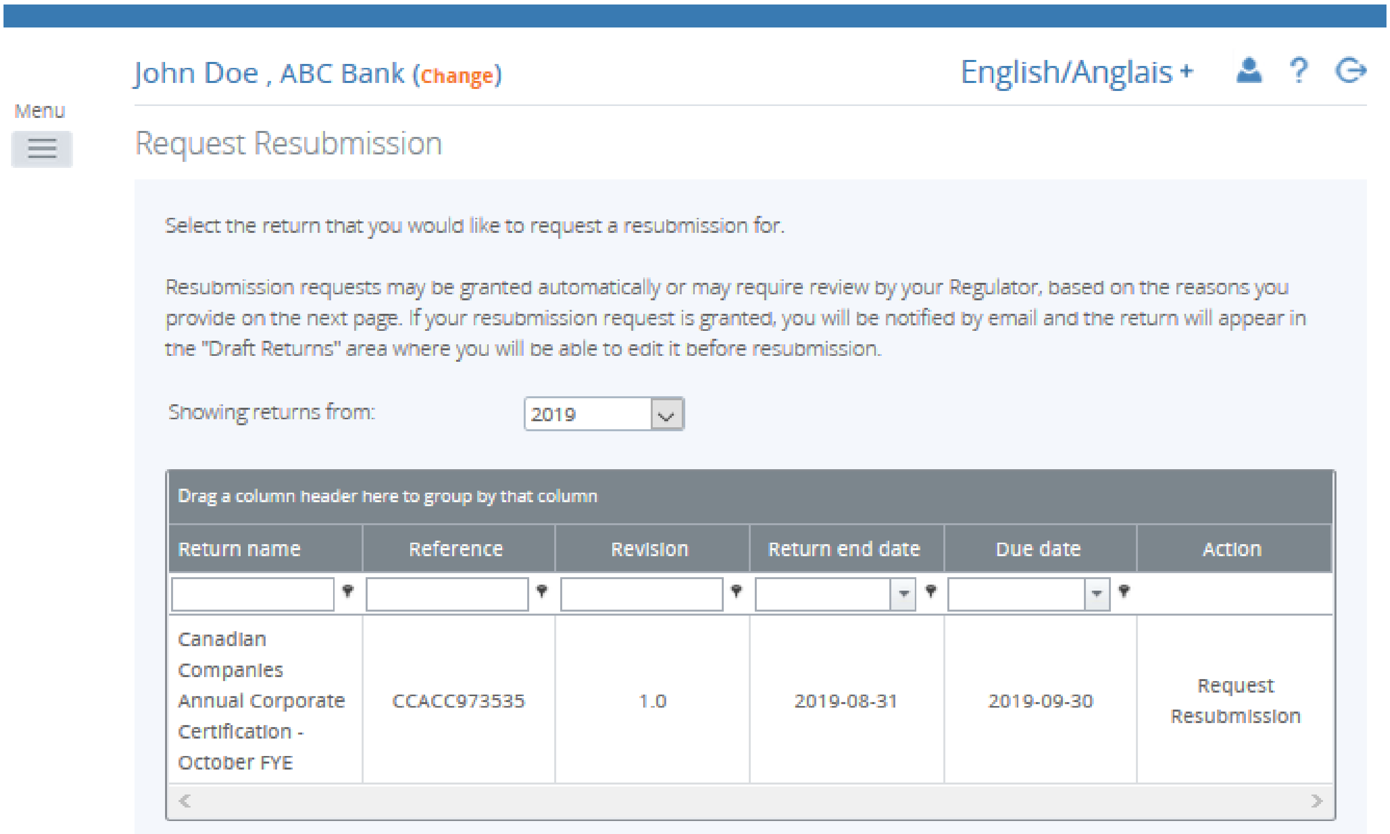


Figure 3.7-3: Request Resubmission Page

4. Click on Request Resubmission.

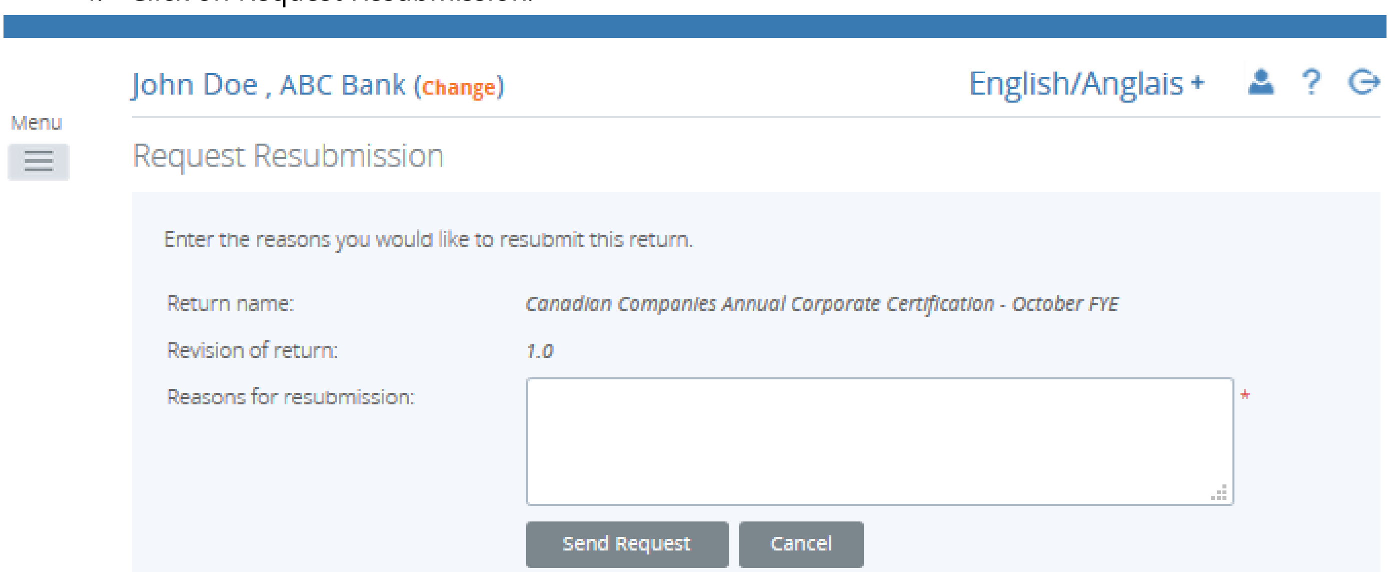


Figure 3.7-3: Request Resubmission Page

5. Provide a reason for the resubmission and click on Send Request button.

Figure 3.7-4: Request Resubmission Page

6. Click on Confirm button.

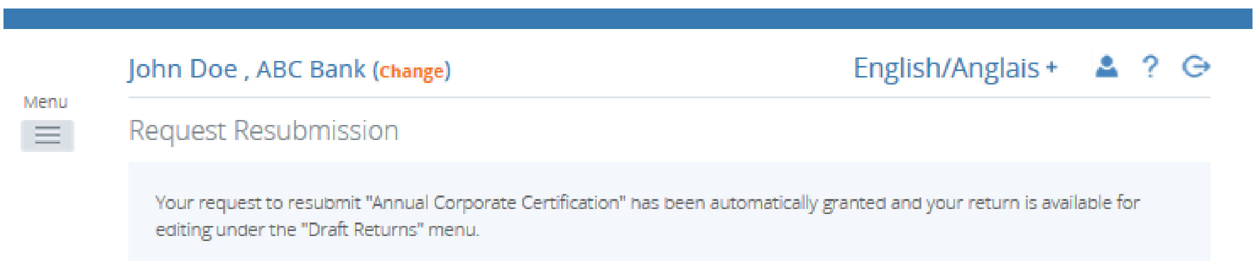


Figure 3.7-5: Request Resubmission Page

7. Click on the Draft Returns folder.

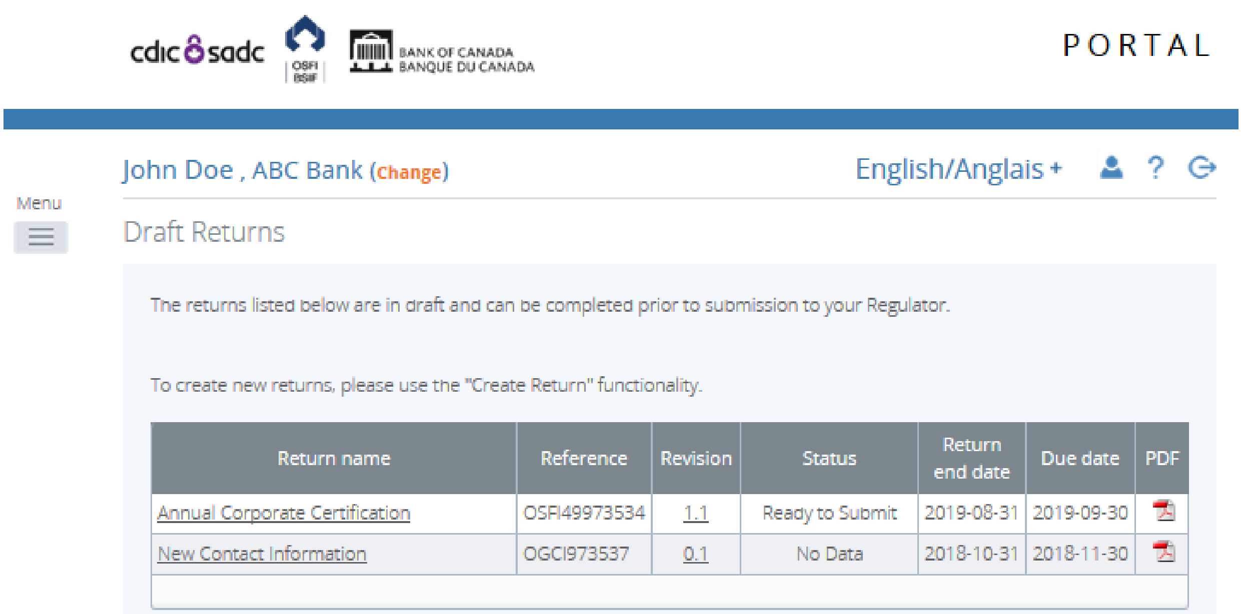


Figure 3.7-6: Draft Returns Page

8. Click on the return you would like to update and resubmit.

9. Click on the return name to open the return.

10. Remove the previously submitted file attachment by clicking on the “X” next to name, then click on the OK button.

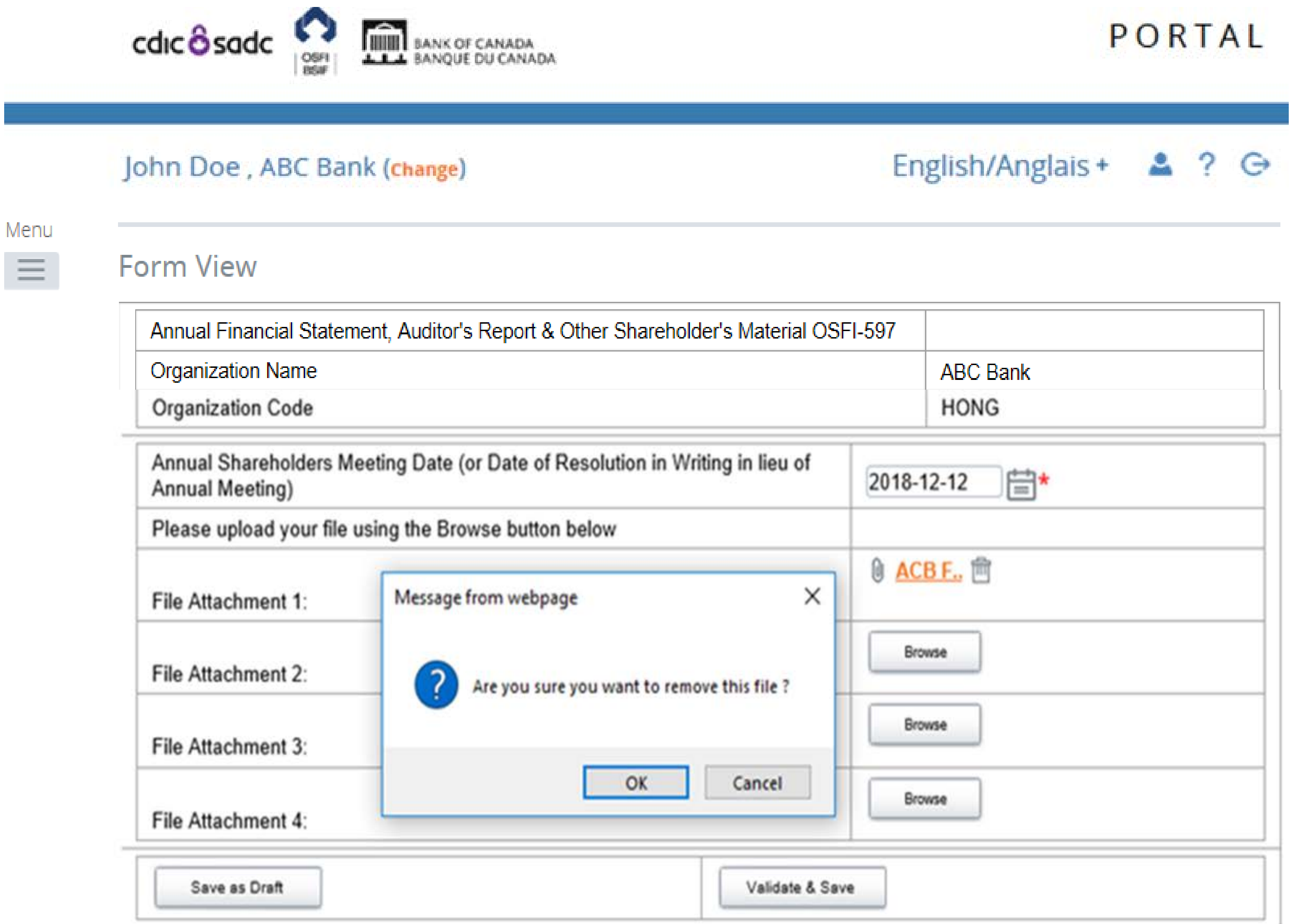


Figure 3.7-7: Return Page

11. Click on Browse button to retrieve and upload the revised file attachment.

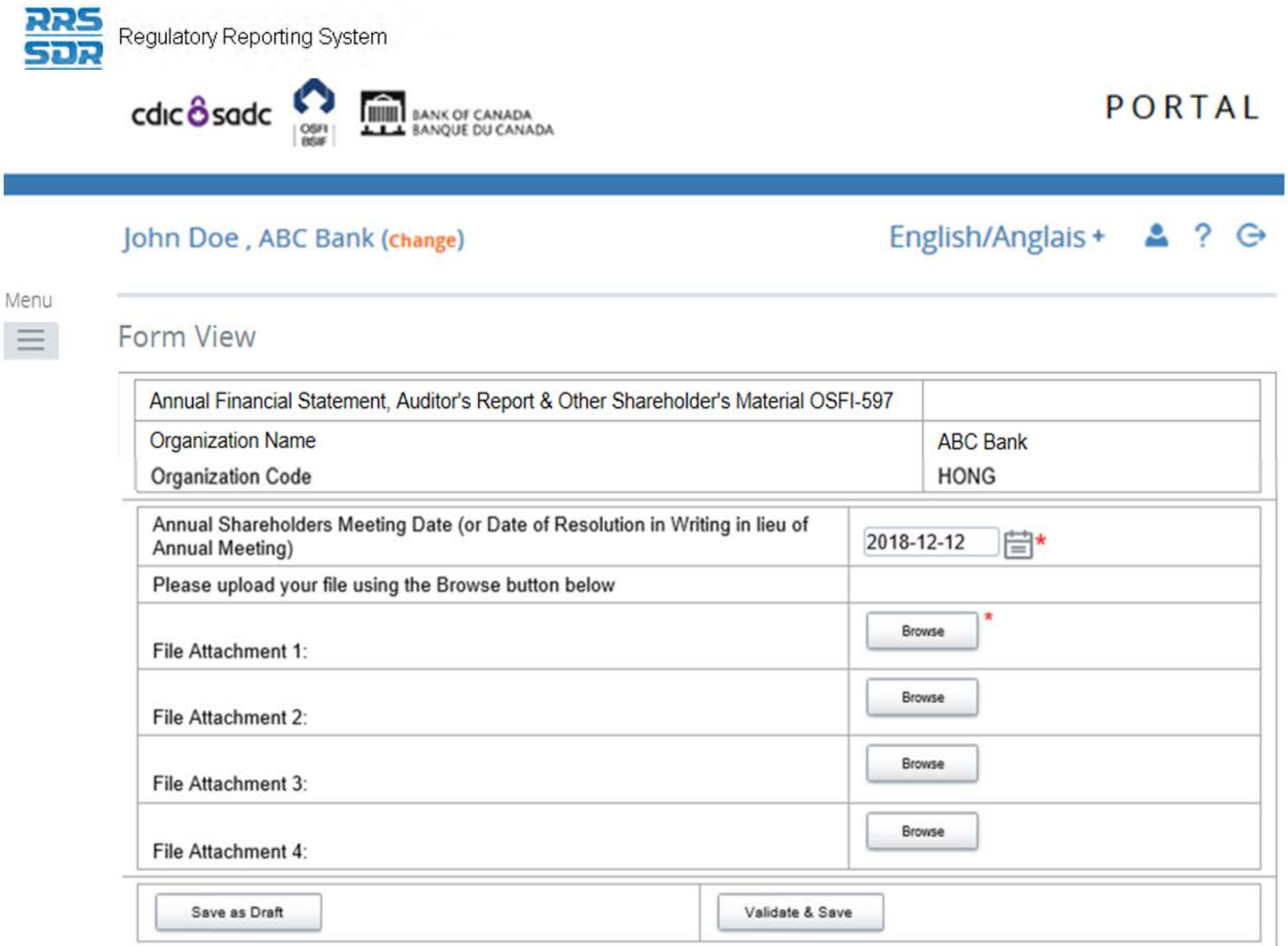
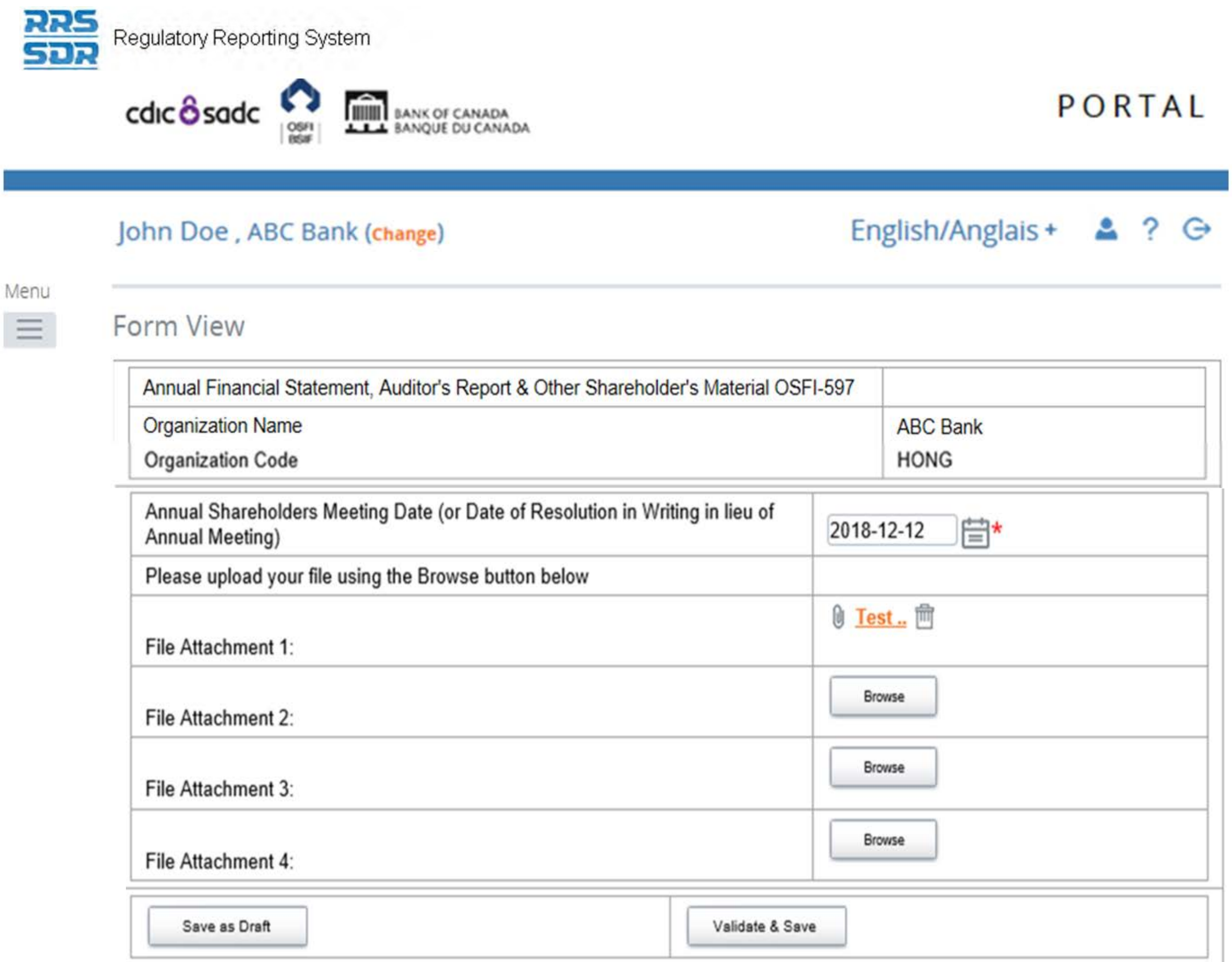


Figure 3.7-8: Return Page

12. Click on **Validate & Save**.



Regulatory Reporting System

PORTAL

John Doe , ABC Bank (change) English/Anglais +

Menu

Form View

Annual Financial Statement, Auditor's Report & Other Shareholder's Material OSFI-597	
Organization Name	ABC Bank
Organization Code	HONG

Annual Shareholders Meeting Date (or Date of Resolution in Writing in lieu of Annual Meeting)	2018-12-12 *
Please upload your file using the Browse button below	
File Attachment 1:	Test ..
File Attachment 2:	Browse
File Attachment 3:	Browse
File Attachment 4:	Browse

Save as Draft | Validate & Save

Figure 3.7-9: Return Page

13. The return is now ready for resubmission.

14. Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

4.0 Specific Corporate Returns Instructions

This section will provide detailed instructions on the following subjects:

1) How to Add/Update your Organization's General Contact Information
2) How to Add an Individual/Related Organization to your Organization Profile
3) How to Delete an Individual/Related Organization to your Organization Profile
4) How to Add Multiple Roles to an Existing Individual within your Organization Profile
5) How to Update Information to an Existing Individual/Related Organization within your Organization Profile
6) How to make changes related to the External Auditor/External Actuary Roles.
7) How to make changes related to the Funding Vehicle and/or Fund Custodian
8) How to make changes related to the Board of Director Information Return

4.1 How to Add/Update your Organization's General Contact Information

Whether you are updating your organization's general contact information or adding new general contact information, you must use the Organization General Contact Information Return.

For all Federally Regulated Financial Institutions (except Foreign Insurance Branches and Foreign Bank Branches), Private Pension Plans and Foreign Representative Offices, a Business Mailing Address must be maintained at all times. This information is used to update OSFI's external website.

For Foreign Insurance Branches and Foreign Bank Branches, a Branch Mailing Address must be maintained at all times. This information is used to update OSFI's external website.

Other address types, such as Head Office Address, can be provided and maintained within your organization profile however it is not a mandatory requirement.

The "Location of Books and Records (CRA) Address" is specifically used by Private Pension Plans only.

All fields are required by OSFI and some fields have been made mandatory.

4.1.1 How to Add an Organization General Contact Information

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

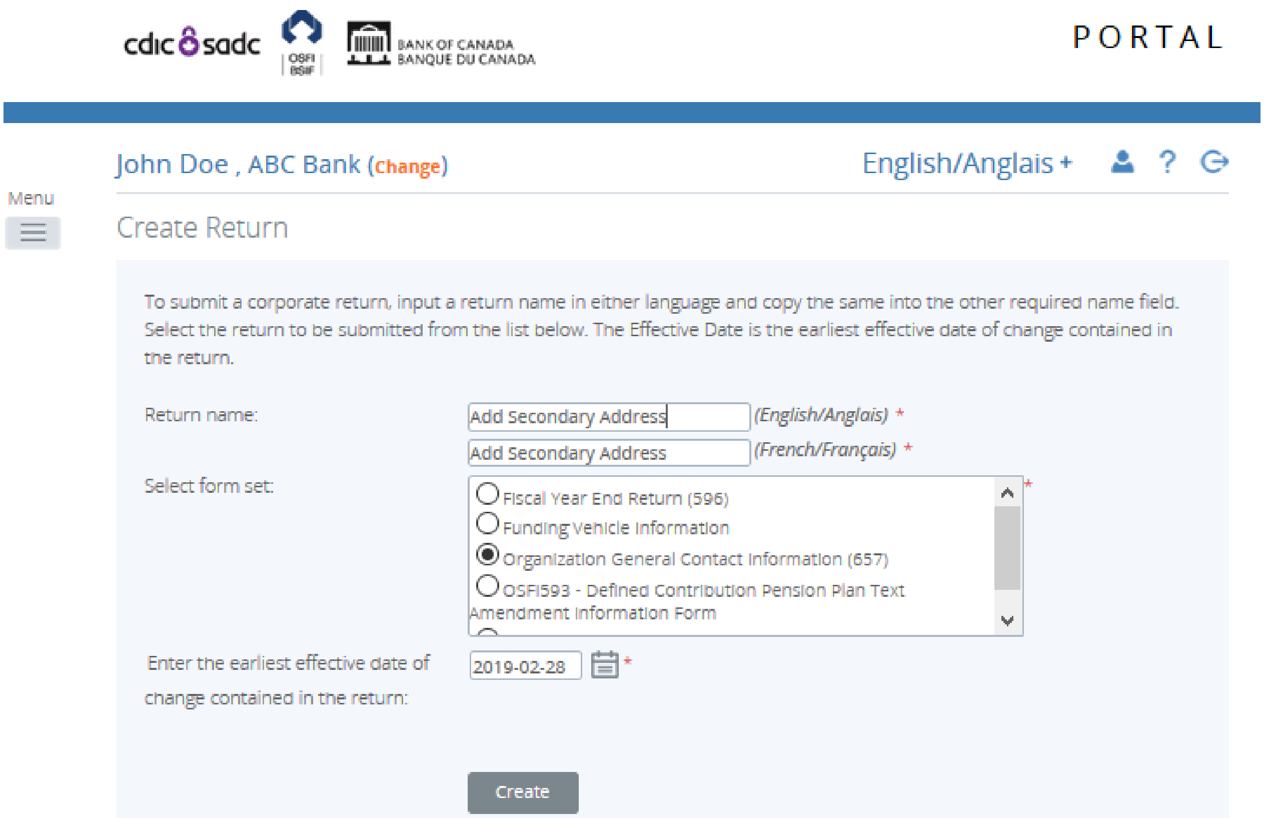


Figure 4.1-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Organization General Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

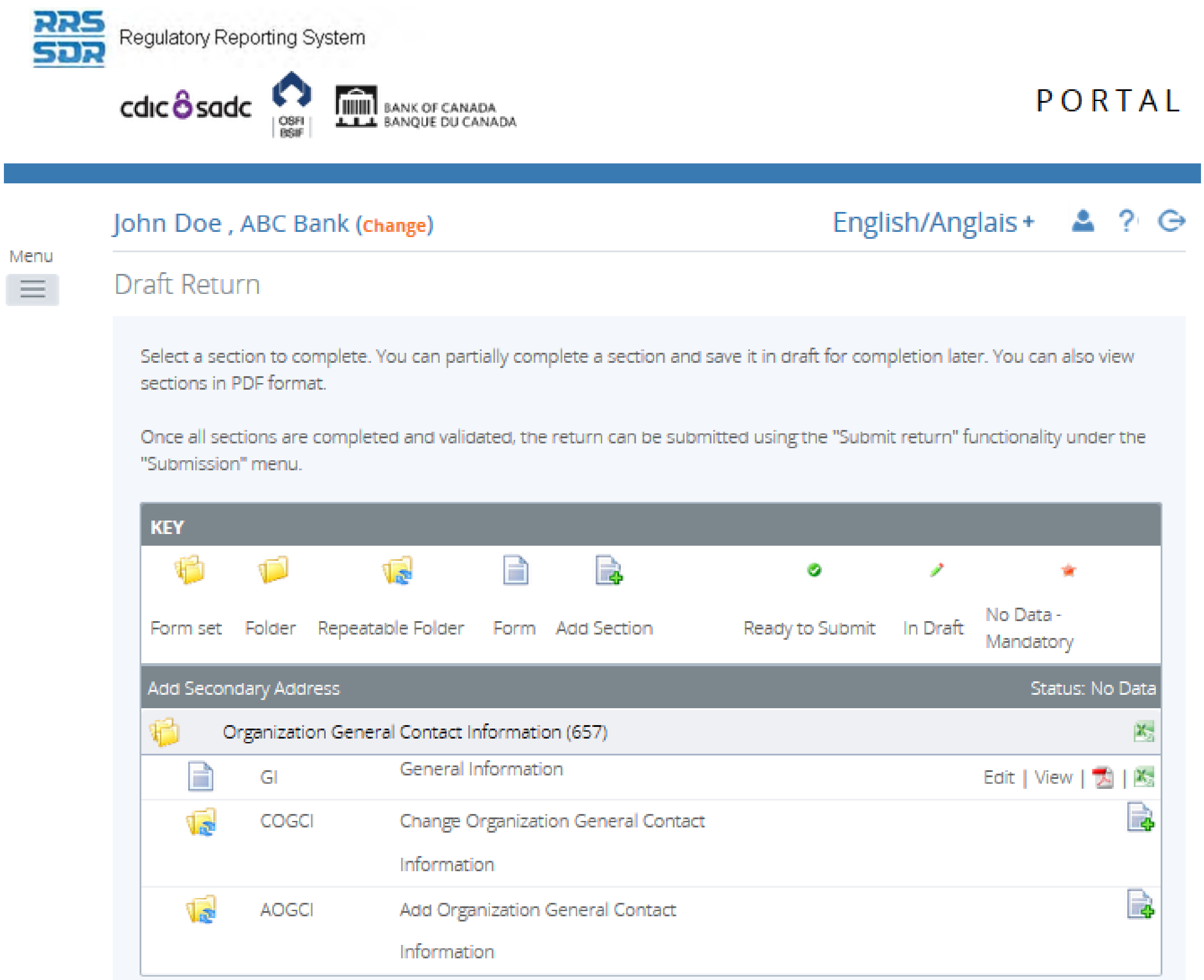


Figure 4.1-2: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Add Organization General Contact Information”
9. This will open a new worksheet within this section of the return.

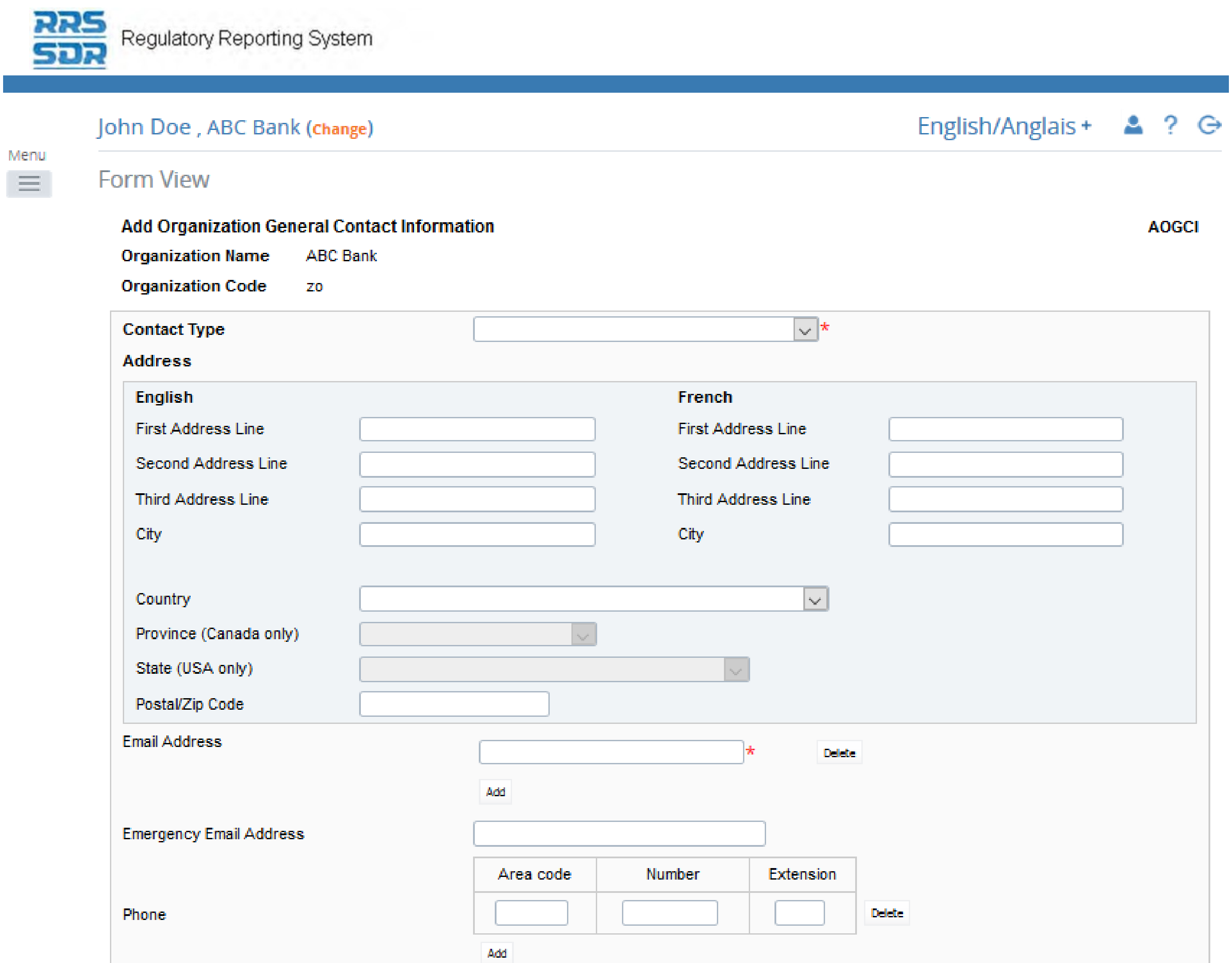


Figure 4.1-3: Add Organization General Contact Information Page

10. Under Contact Type, choose appropriate contact type you wish to Add.
11. Provide the complete mailing address. A province must be provided when “Canada” is chosen as the Country and a state must be provided when “USA” is chosen as the Country.
12. Provide a general email address for the organization.
13. Provide an emergency email address if one is available.
14. Provide a general Telephone and Fax Number for the organization.
15. You can now click on the **Validate & Save** button.
16. Your return is now ready to be submitted.
17. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.1.2 How to Update your Organization General Contact Information

When updating your general contact information, all related information must be provided as this return will replace all information located within your organization profile.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

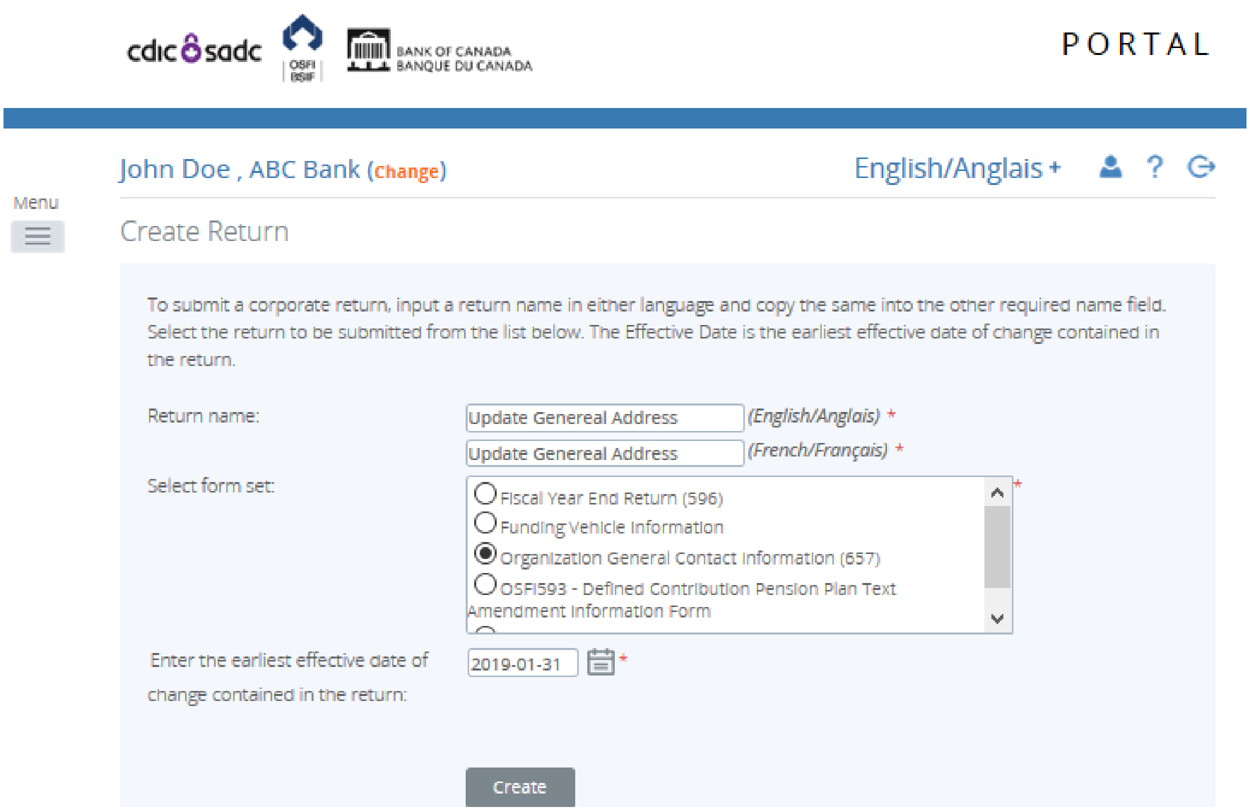


Figure 4.1-4: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Organization General Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

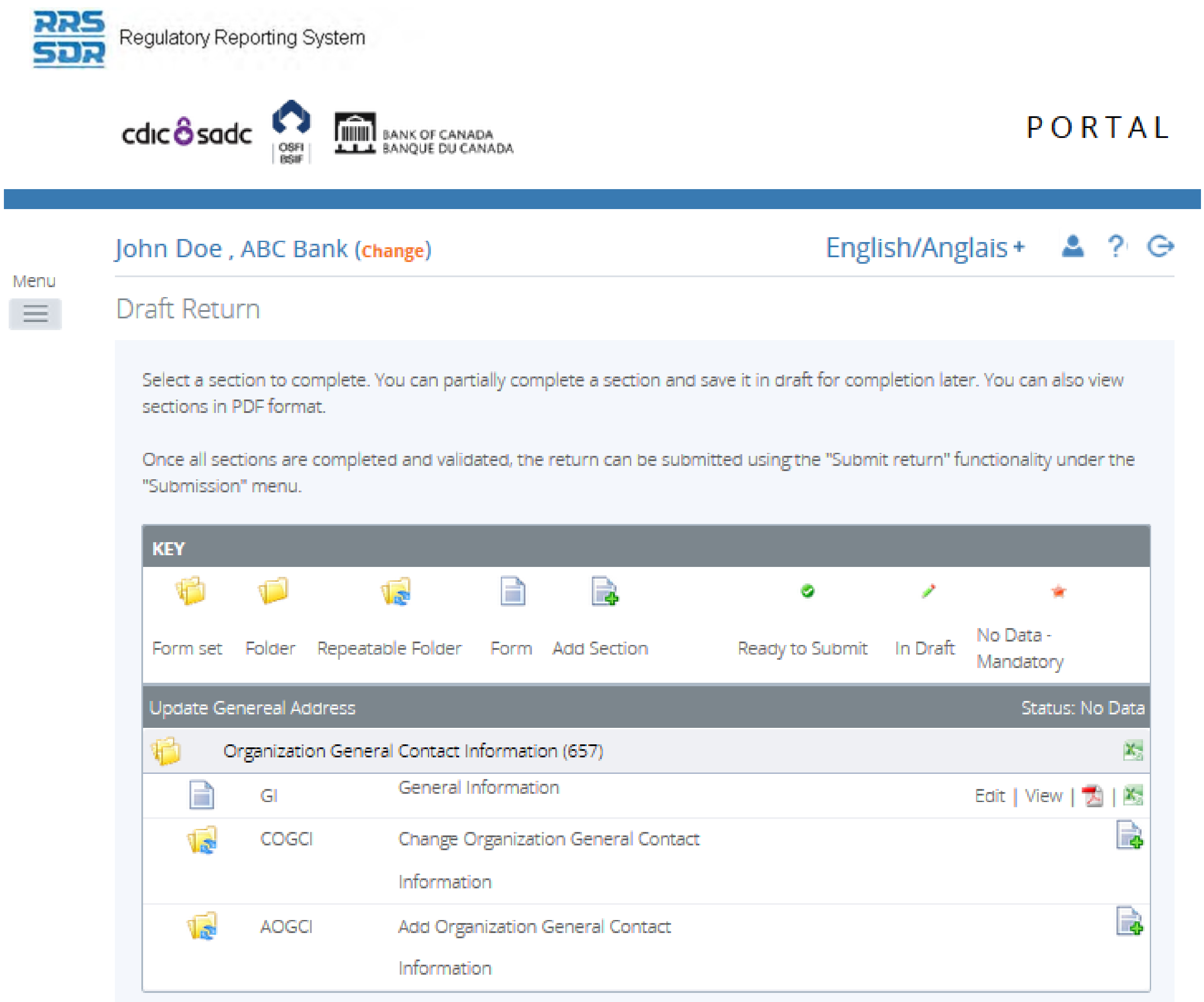
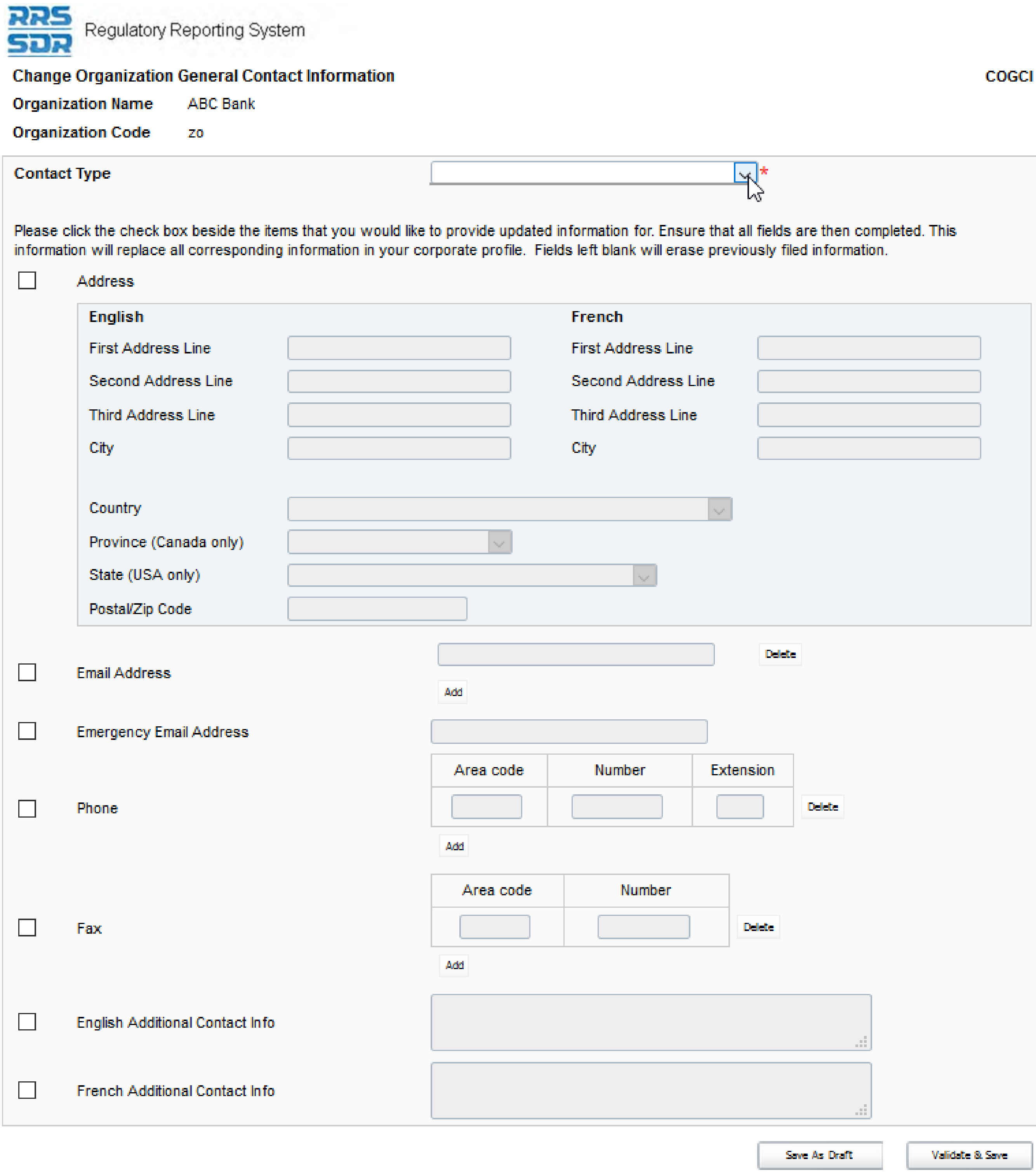


Figure 4.1-5: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Change Organization General Contact Information”
9. This will open a new worksheet within this section of the return.



RRS SDR Regulatory Reporting System

Change Organization General Contact Information COGCI

Organization Name ABC Bank

Organization Code zo

Contact Type *

Please click the check box beside the items that you would like to provide updated information for. Ensure that all fields are then completed. This information will replace all corresponding information in your corporate profile. Fields left blank will erase previously filed information.

☐ Address

English	**French**
First Address Line	First Address Line
Second Address Line	Second Address Line
Third Address Line	Third Address Line
City	City

Country

Province (Canada only)

State (USA only)

Postal/Zip Code

☐ Email Address — Delete — Add

☐ Emergency Email Address

☐ Phone

Area code	Number	Extension

Delete — Add

☐ Fax

Area code	Number

Delete — Add

☐ English Additional Contact Info

☐ French Additional Contact Info

Save As Draft — Validate & Save

Figure 4.1-6: Change Organization General Contact Information Page

10. Under Contact Type, choose appropriate contact type you wish to update (see example above).

11. Only check boxes on the left hand side that you wish to provide updated information for.

    a. If providing an address change, you must provide the complete mailing address (the system will not pre-populate that information from your profile).

b. If providing any email, telephone or fax changes, check boxes as appropriate and provide all the required information as appropriate.

c. If you already have an email address, telephone or fax number within your profile and you wish to add a second email or telephone/fax number, you must re-enter the current information from your profile, then add any additional information by clicking on the “Add” button.

12. The Additional Contact Info is meant to be used for any other general information not provided above.
13. You can now click on the **Validate & Save** button.
14. Your return is now ready to be submitted.
15. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.1.3 How to Update information located under General Information

Under the General Information section, this is where your preferred language and your organization’s website URL can be found and maintained.

The preferred language is automatically defaulted to English. To change your preferred language to French, simply check off the box on the left hand side to enable that record. Once you have updated this information, you can now click on the “Validate & Save” button.

You can also maintain your organization’s website URL however this information is not a mandatory requirement.

4.1.4 How to answer the questions located under General FRFI Information

The General FRFI Information section does not apply to Private Pension Plans.

For all Federally Regulated Financial Institutions, please provide responses where applicable.

All questions located in this section are defaulted to Null. Below are the instructions on how to answer these questions.

1. Click on the “Edit” button on the right hand side next to “General FRFI Information”
2. This will open a new worksheet within this section of the return.

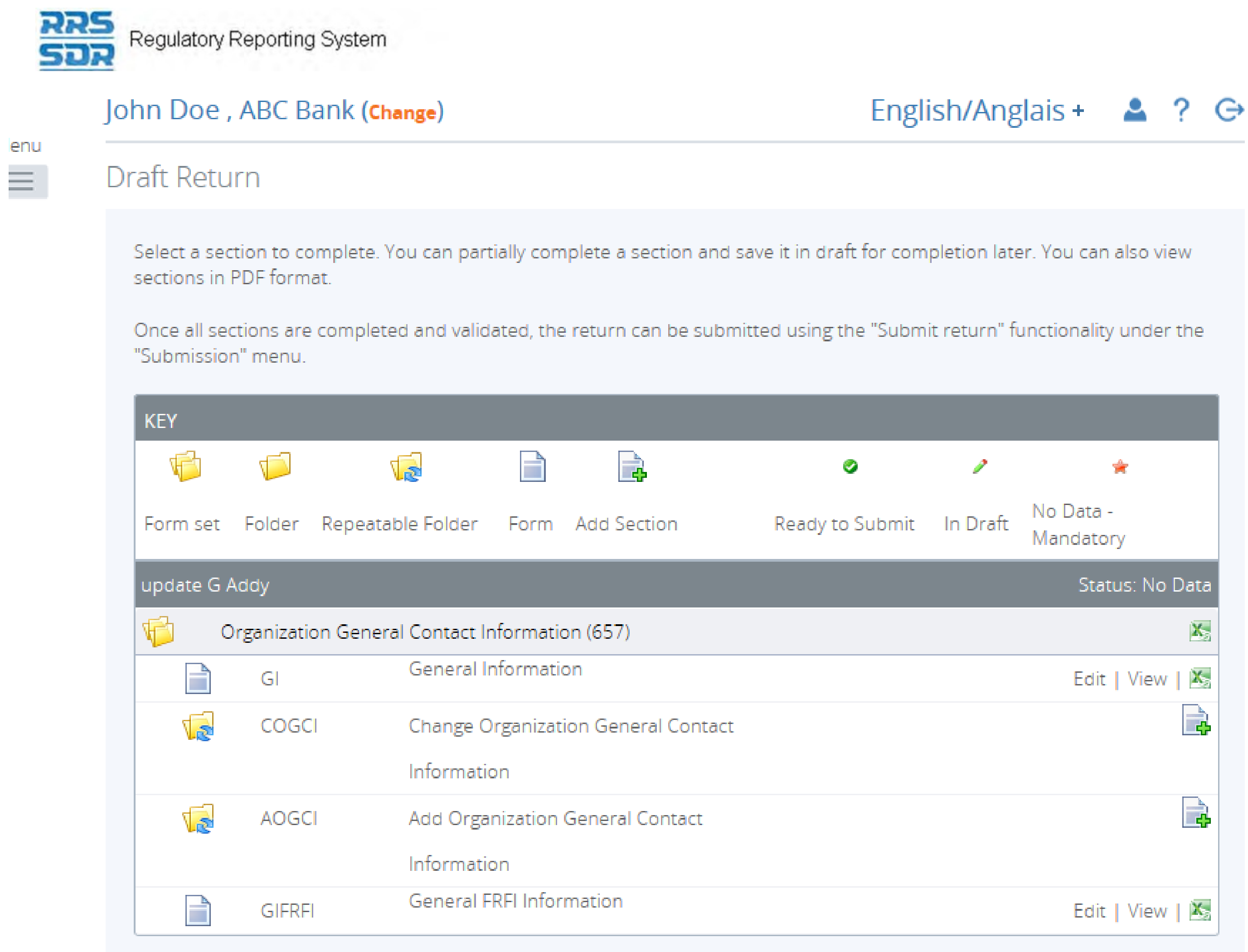


Figure 4.1-7: Draft Return Page

3. In order to provide a "No" response to any of these questions, simply check box on the left hand side of the applicable question and leave box on the right hand side blank (see example below).

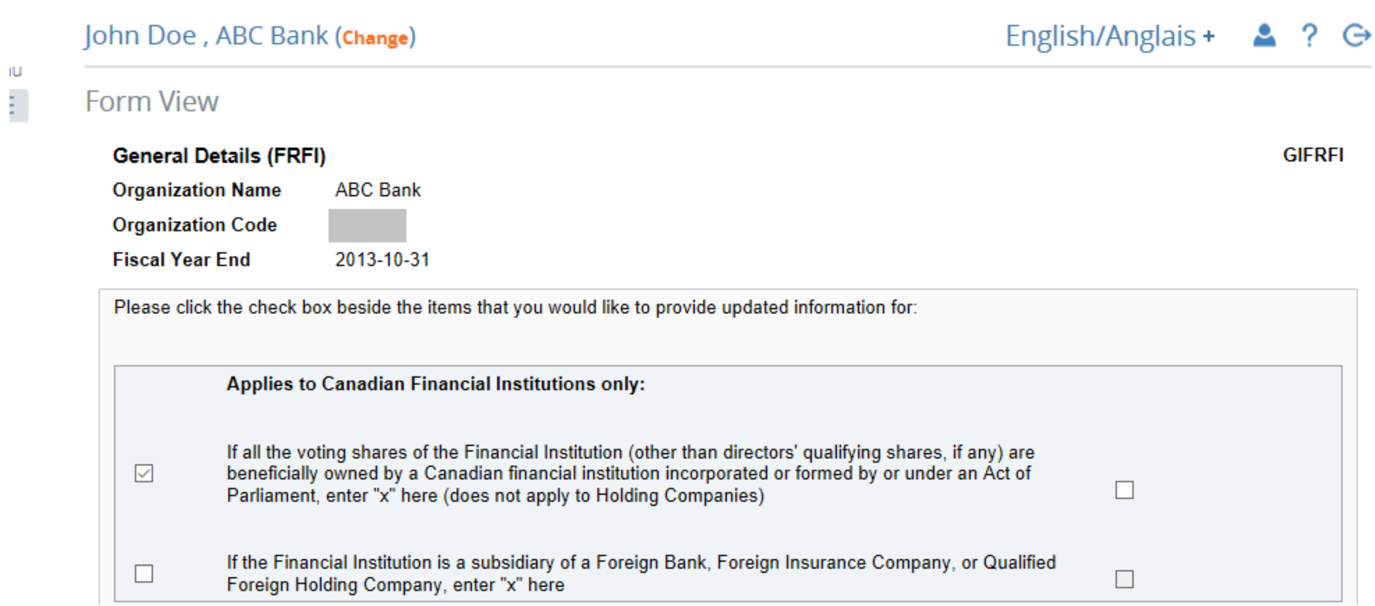
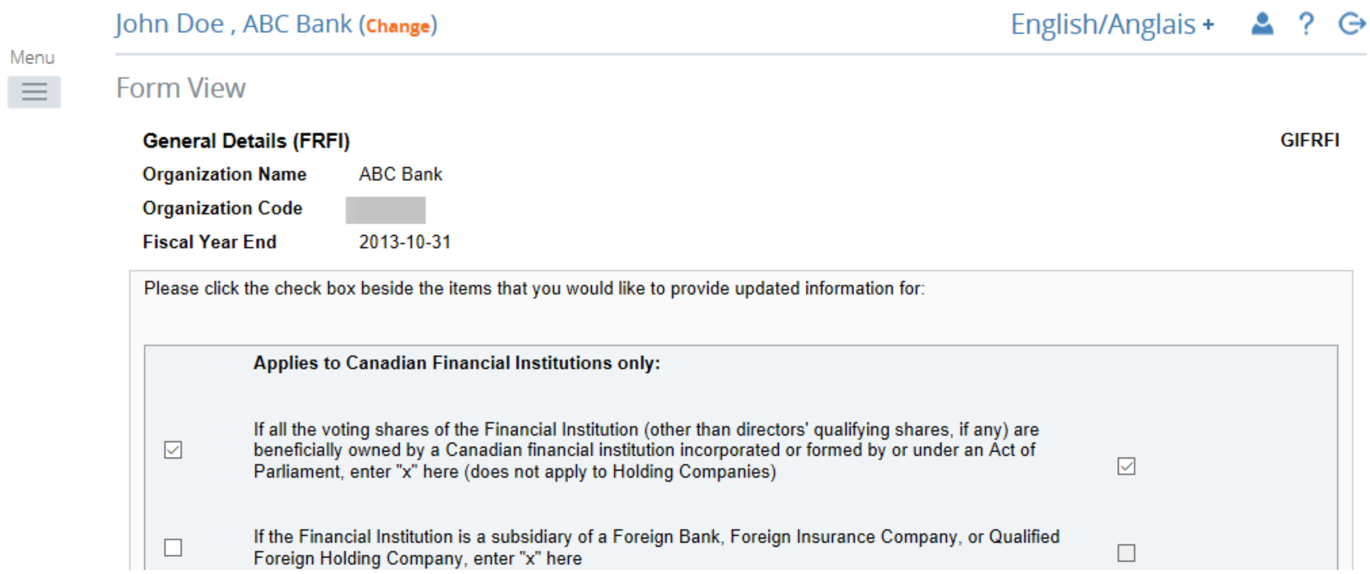


Figure 4.1-8: General Details (FRFI) Page

4. In order to provide a "Yes" response to any of these questions, simply check box on the left hand side of the applicable question and also check box on the right hand side (see example below).


John Doe , ABC Bank (Change) English/Anglais +

Menu

Form View

General Details (FRFI)	GIFRFI
Organization Name	ABC Bank
Organization Code	
Fiscal Year End	2013-10-31

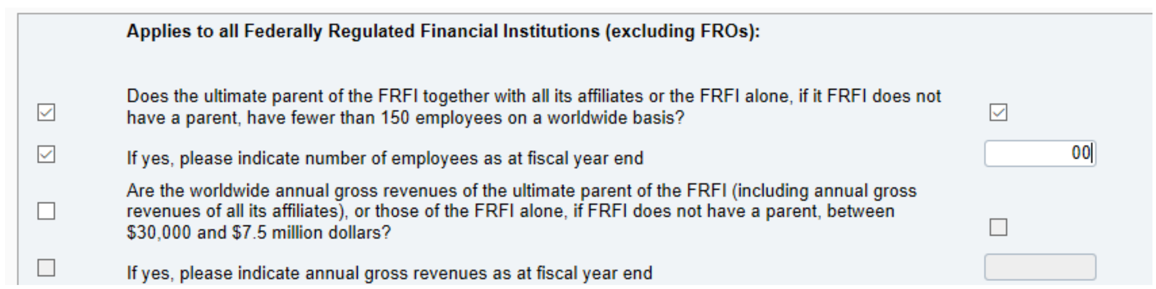
Please click the check box beside the items that you would like to provide updated information for:

Applies to Canadian Financial Institutions only:

☑	If all the voting shares of the Financial Institution (other than directors' qualifying shares, if any) are beneficially owned by a Canadian financial institution incorporated or formed by or under an Act of Parliament, enter "x" here (does not apply to Holding Companies)	☑
☐	If the Financial Institution is a subsidiary of a Foreign Bank, Foreign Insurance Company, or Qualified Foreign Holding Company, enter "x" here	☐

Figure 4.1-9: General Details (FRFI) Page

5. For the following two new questions, when providing a "Yes" answer to these questions, this will enable the second part of the question where a number must also be provided (see example below.


Applies to all Federally Regulated Financial Institutions (excluding FROs):

☑	Does the ultimate parent of the FRFI together with all its affiliates or the FRFI alone, if it FRFI does not have a parent, have fewer than 150 employees on a worldwide basis?	☑
☑	If yes, please indicate number of employees as at fiscal year end	00
☐	Are the worldwide annual gross revenues of the ultimate parent of the FRFI (including annual gross revenues of all its affiliates), or those of the FRFI alone, if FRFI does not have a parent, between $30,000 and $7.5 million dollars?	☐
☐	If yes, please indicate annual gross revenues as at fiscal year end	

Figure 4.1-10: General Details (FRFI) Page

6. Once applicable questions have been answered, you can now click on the **Validate & Save** button.

7. Your return is now ready to be submitted. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

4.2 How to Add an Individual/Related Organization to your Organization Profile

To add an individual or a Related Organization to your organization profile, you must use the Required Roles and Contact Information Return.

For each individual or related organization, a Business Mailing Address must be maintained at all times.

Provide the full name and salutation of each new individual being added to the organization profile.

	Reminder
	When adding a new individual or related organization to the Organization Profile, please ensure that the departing individual or related organization is removed from the profile by following steps under Section 4.3 How to Delete an Individual or a Related Organization from your Organization Profile.

4.2.1 How to Add an Individual to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

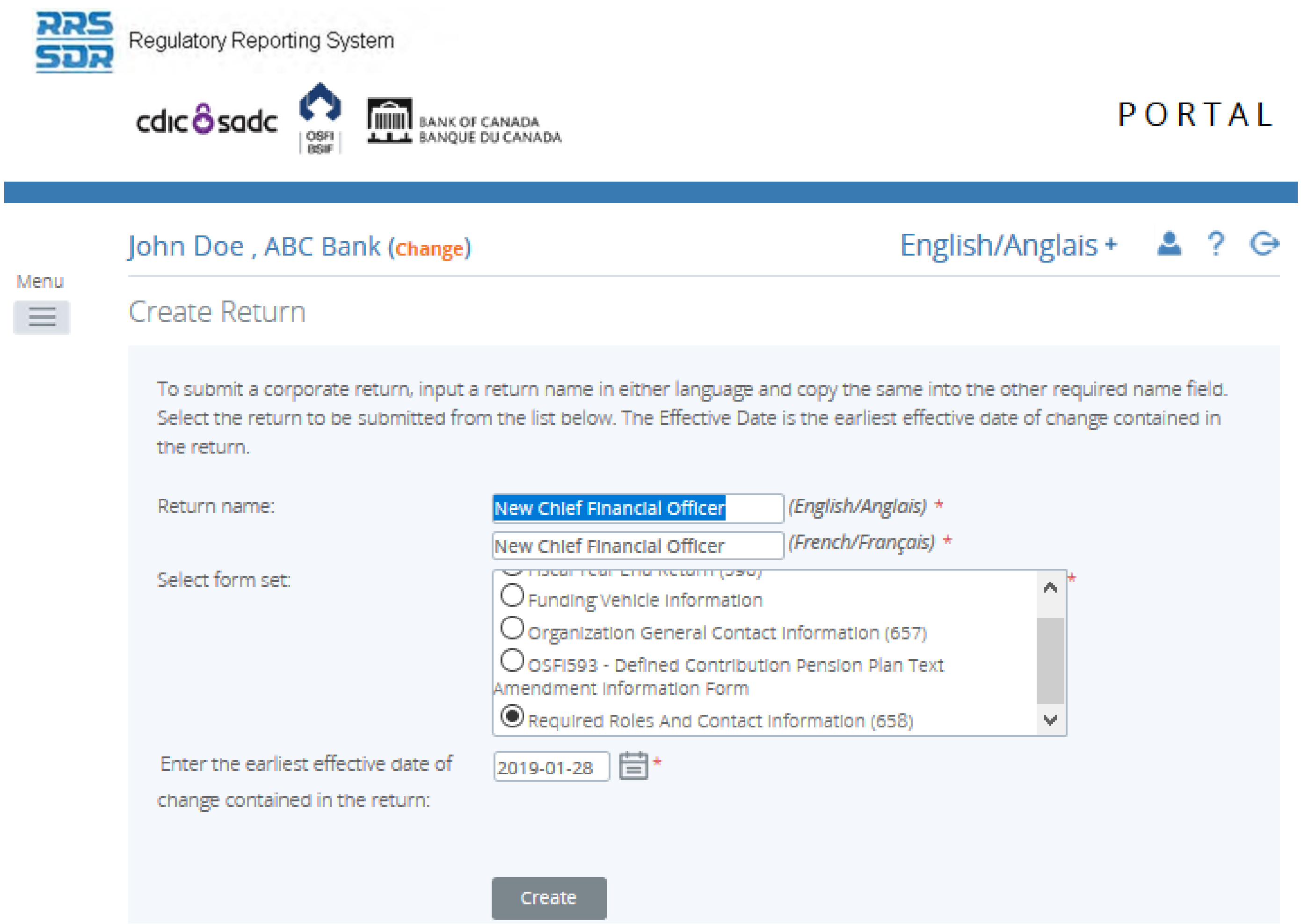


Figure 4.2-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

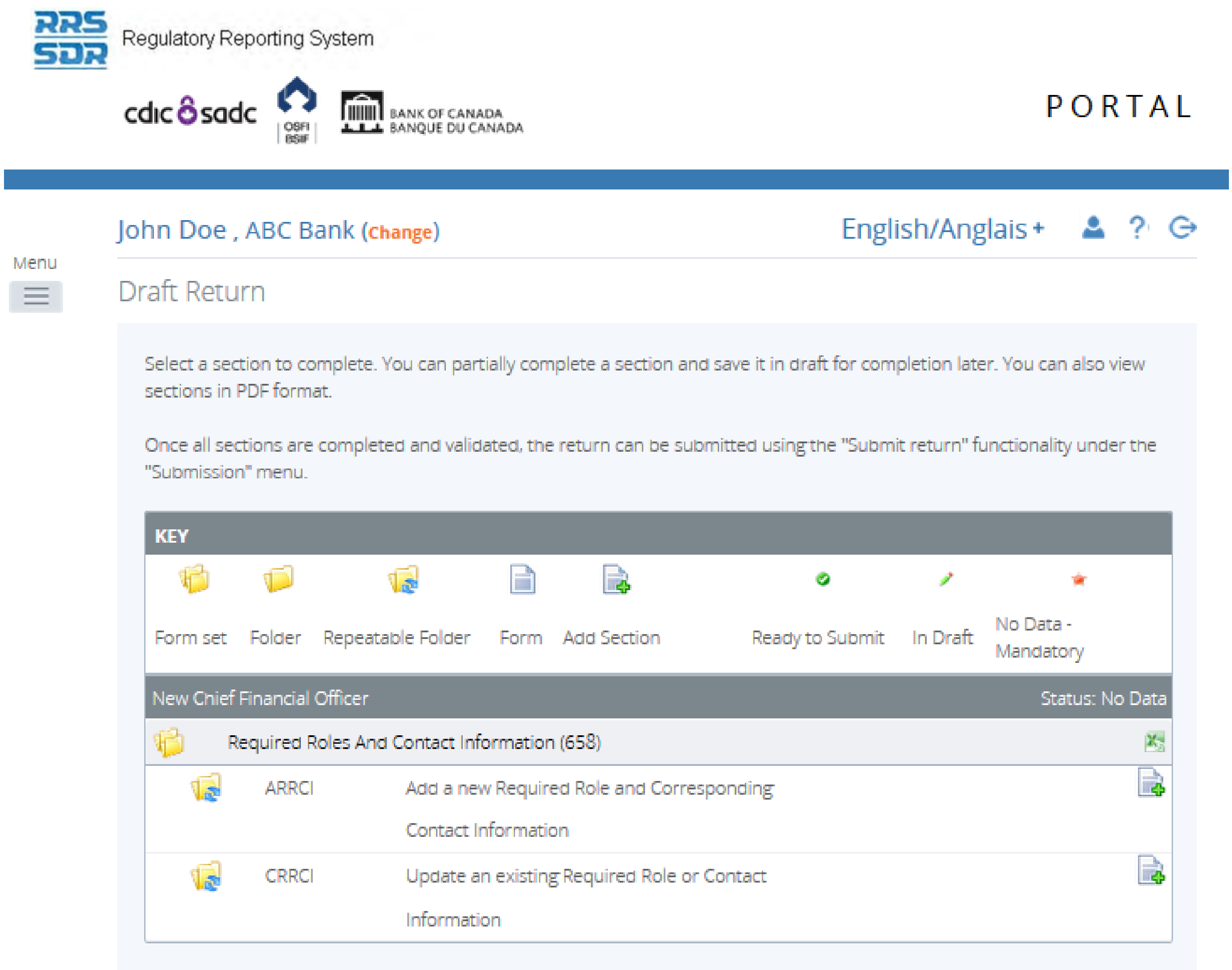
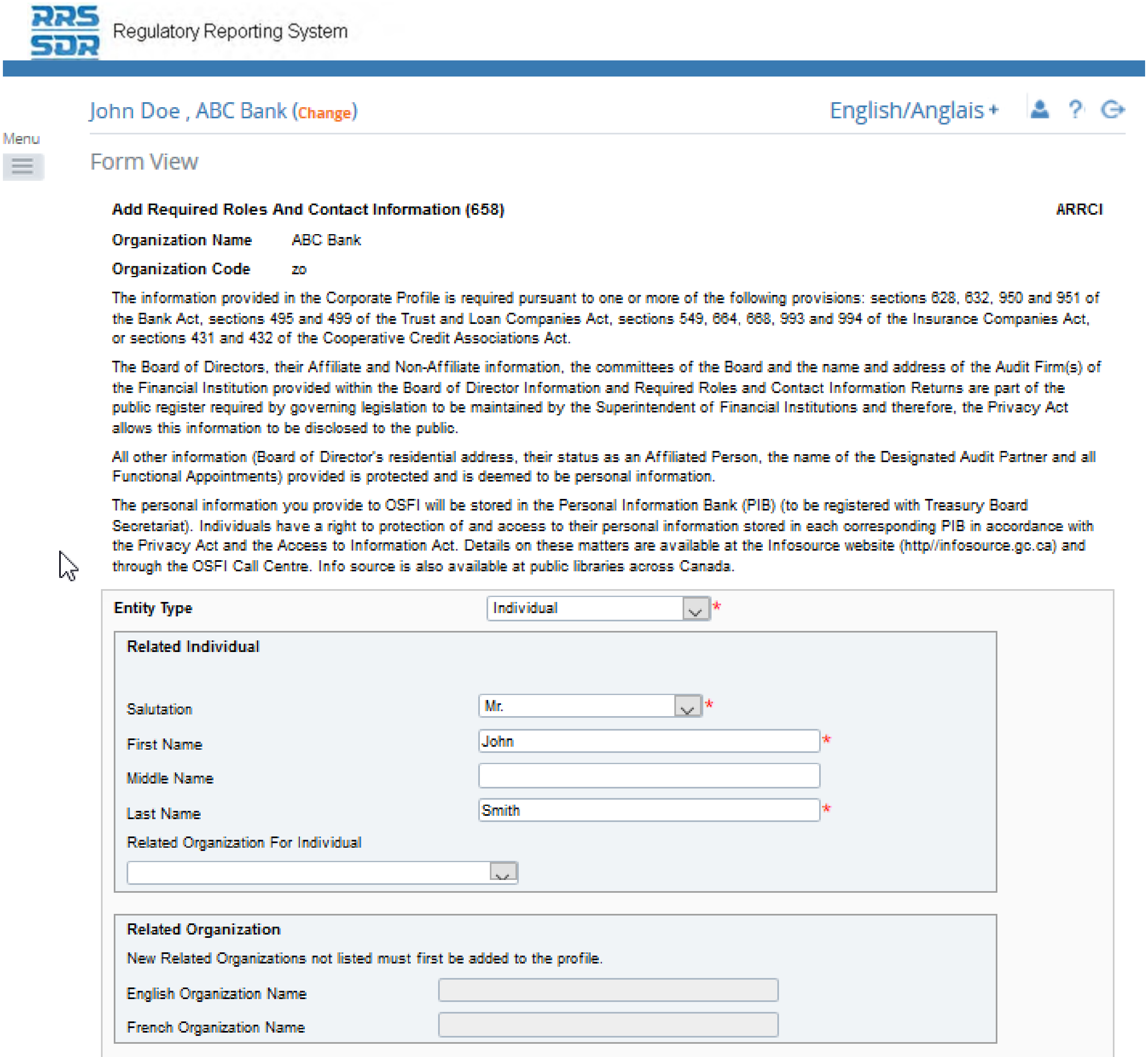


Figure 4.2-2: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Add a new Required Role and Corresponding Contact Information"

9. This will open a new worksheet within this section of the return.


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Menu

Form View

Add Required Roles And Contact Information (658) **ARRCI**

Organization Name ABC Bank

Organization Code zo

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Entity Type Individual *

Related Individual

Salutation Mr. *

First Name John *

Middle Name

Last Name Smith *

Related Organization For Individual

Related Organization

New Related Organizations not listed must first be added to the profile.

English Organization Name

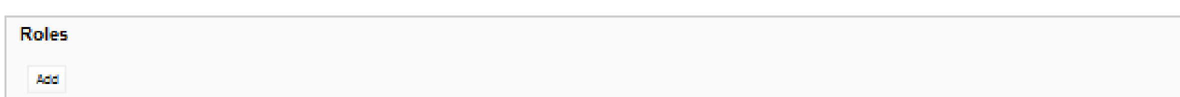
French Organization Name

Figure 4.2-3: Add Required Roles and Contact Information Page

10. Under Entity Type, choose “Individual” (see example above).

11. Under Related Individual, enter appropriate information. (NOTE: The Related Organization section will remain blank.)

12. Under Roles, click on “Add” button to expand box (as shown below).


Roles

Add

Figure 4.2-4: Add Required Roles and Contact Information Page

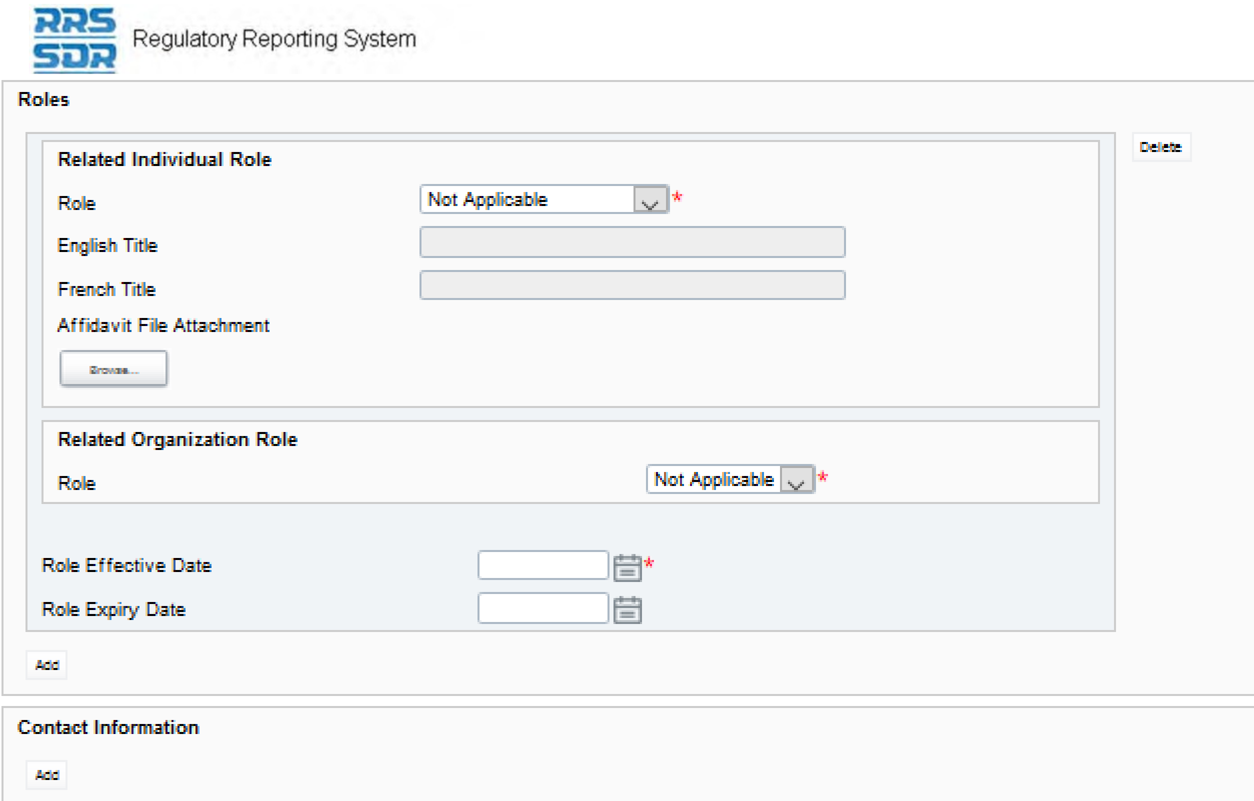


Figure 4.2-5: Add Required Roles and Contact Information Page

13. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
14. Provide the title of the individual, only if different than the title of the role.
15. Under Related Organization Role, this field will remain as "Not Applicable".
16. Enter the role effective date.

Note:

Affidavit File Attachment only applies to the roles of Chief Agent or Principal Officer. This is where OSFI-25 or OSFI-512 must be uploaded when making any changes to these roles.

17. Under Contact Information, click on "Add" button to expand box (as shown below)

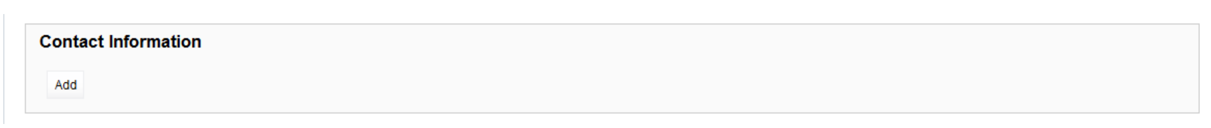


Figure 4.2-6: Add Required Roles and Contact Information Page

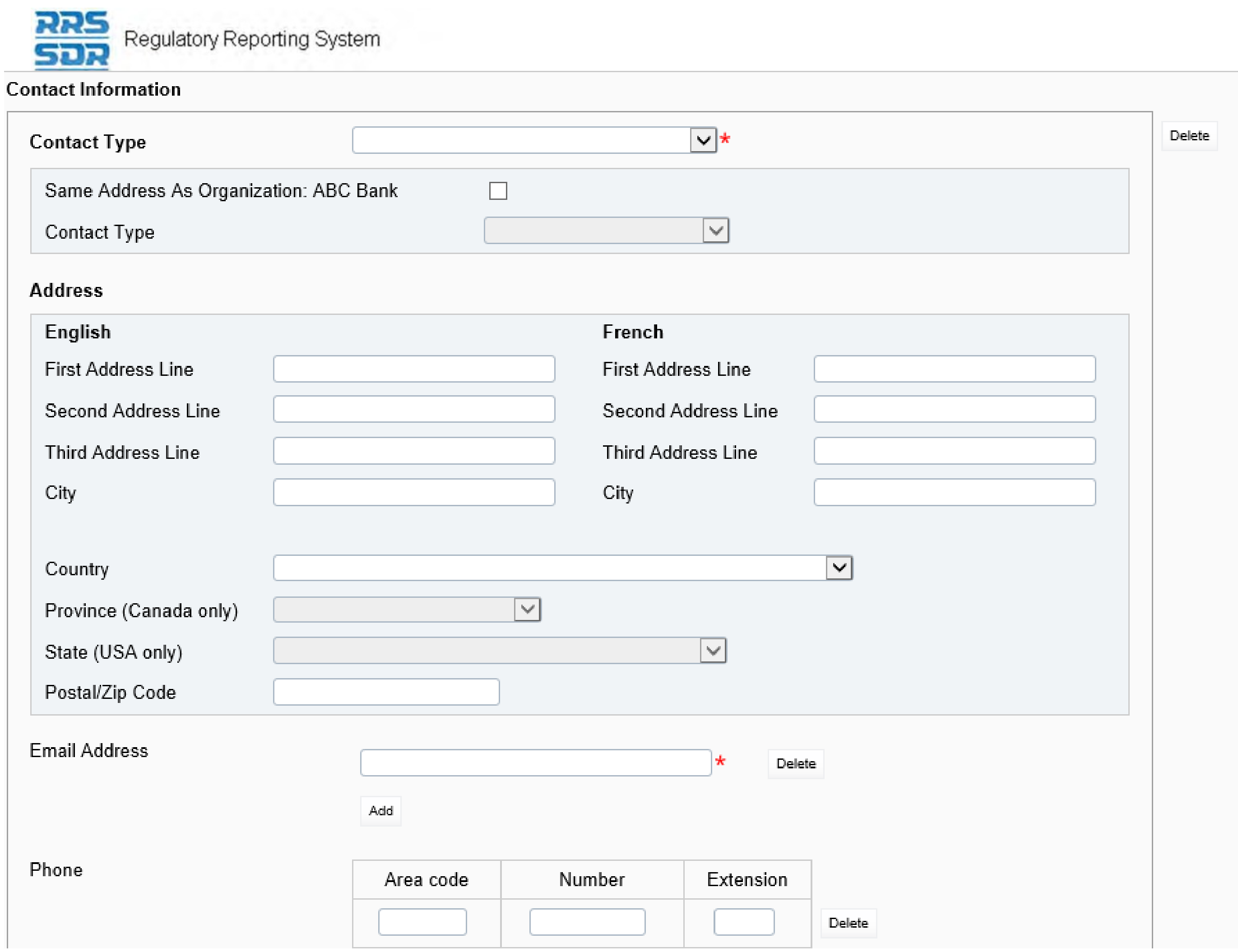


Figure 4.2-7: Add Required Roles and Contact Information Page

18. Under Contact Type, choose “Business Mailing Address”.

	Note:
	For an individual, their contact type must always be set as “Business Mailing Address”. If the business mailing address for an individual is the same as the address of your organization, simply check this box and choose the appropriate general contact type in your organization profile.

19. You must then provide a business email address for the individual, including their telephone and fax numbers.

20. You can now click on the **Validate & Save** button.

21. Your return is now ready to be submitted.

22. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

4.2.2 How to Add a Related Organization to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

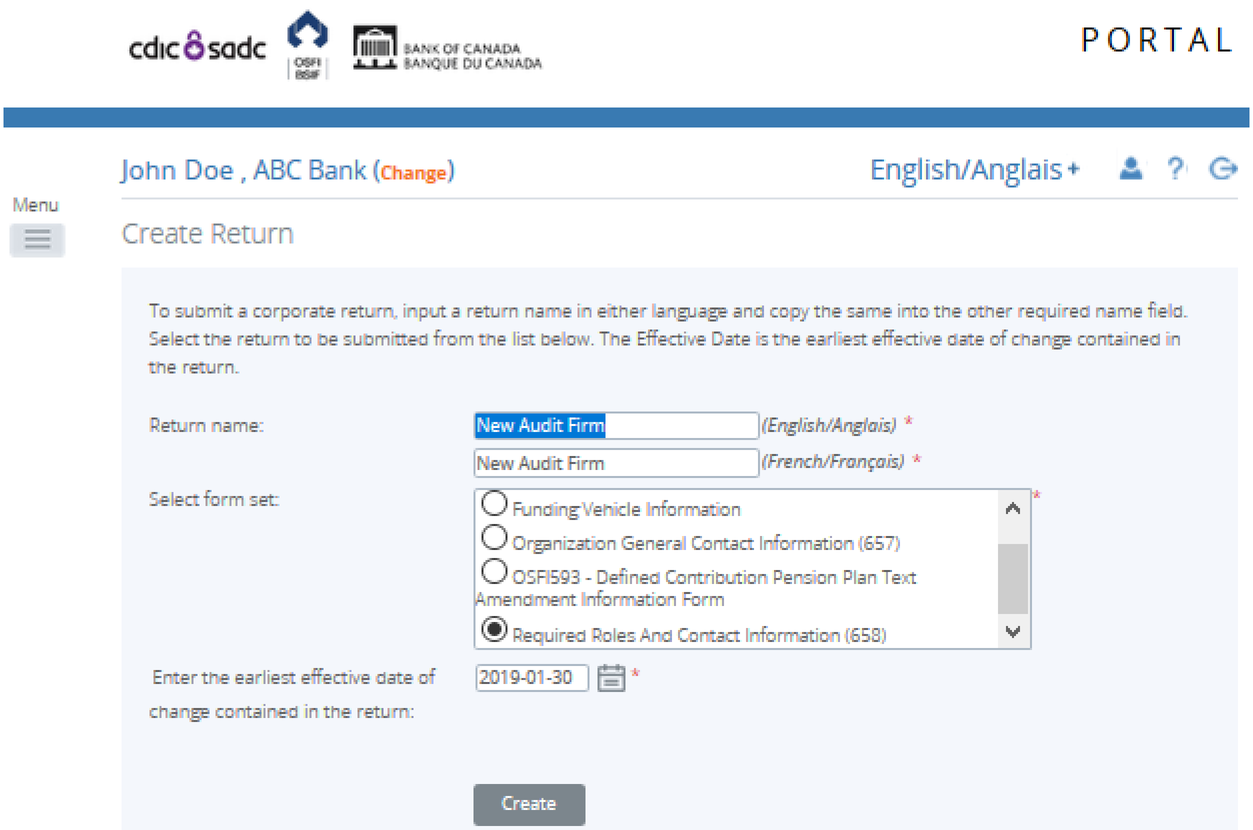


Figure 4.2-8: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

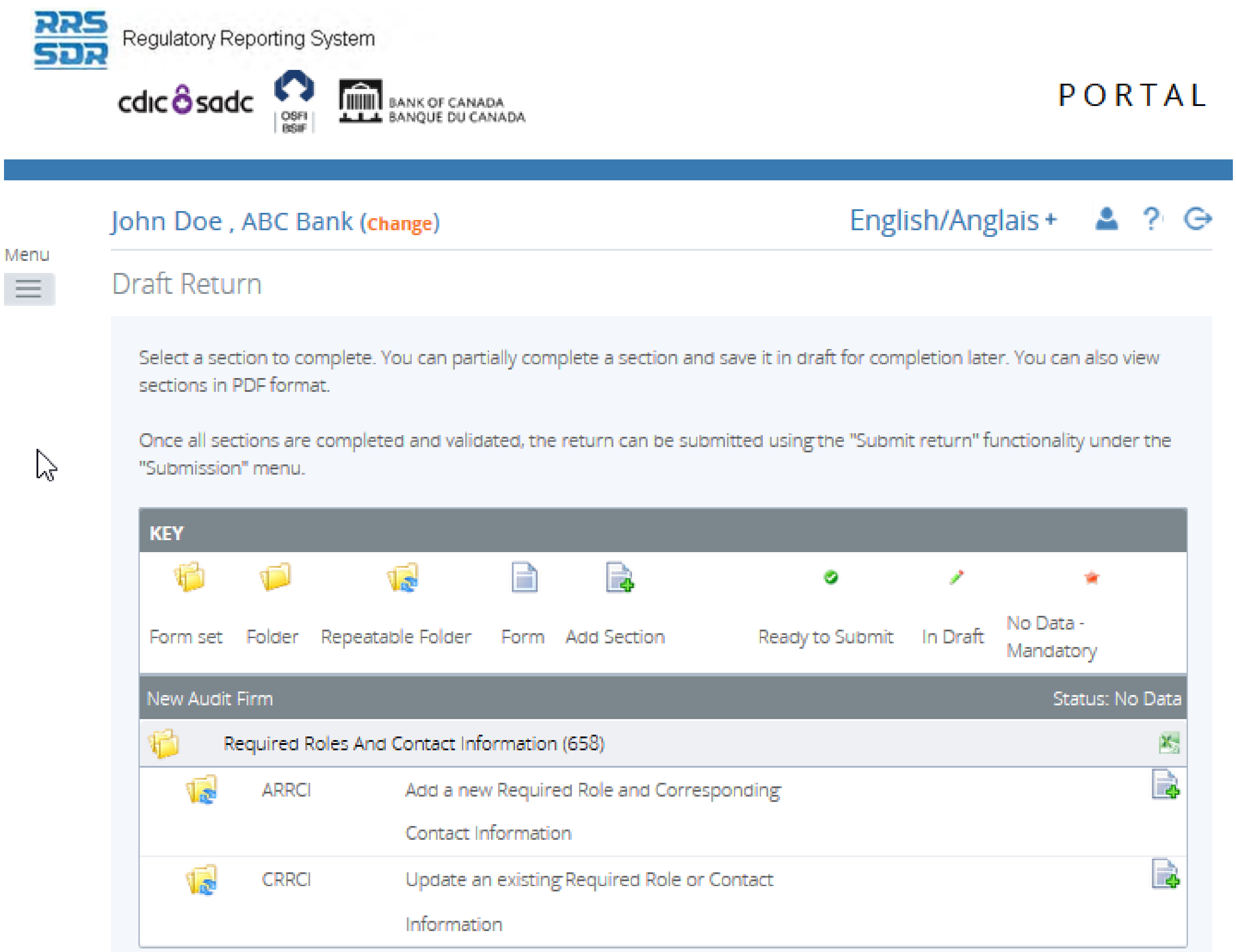


Figure 4.2-9: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Add a new Required Role and Corresponding Contact Information"

9. This will open a new worksheet within this section of the return.

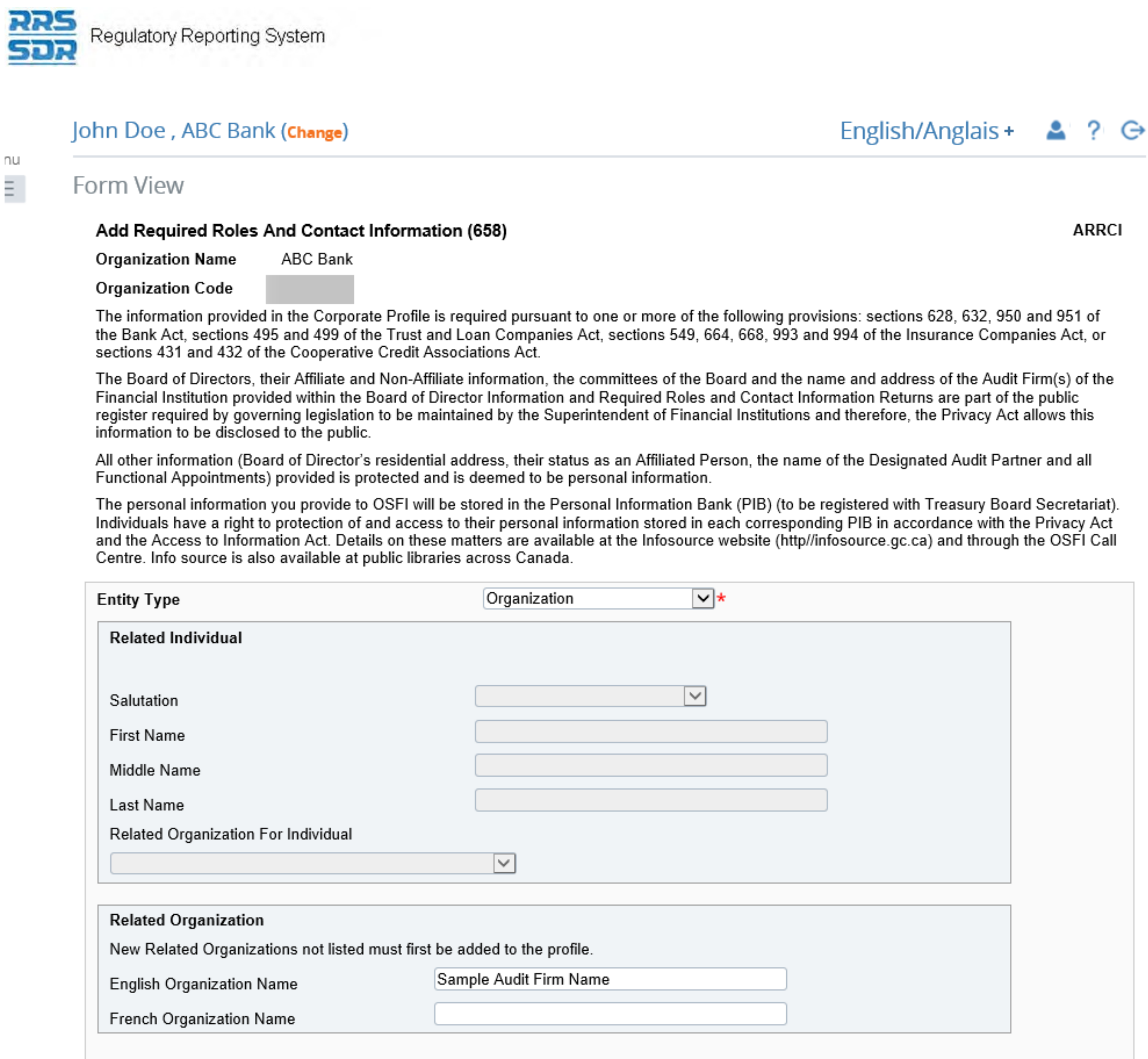


Figure 4.2-10: Add Required Roles and Contact Information Page

10. Under Entity Type, choose "Organization" (see example above).

11. Under Related Organization, enter appropriate information in the language of your choice. (NOTE: The Related Individual section will remain blank.)

12. Under Roles, click on "Add" button to expand box (as shown below).

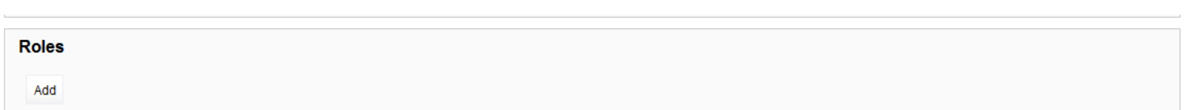


Figure 4.2-11: Add Required Roles and Contact Information Page

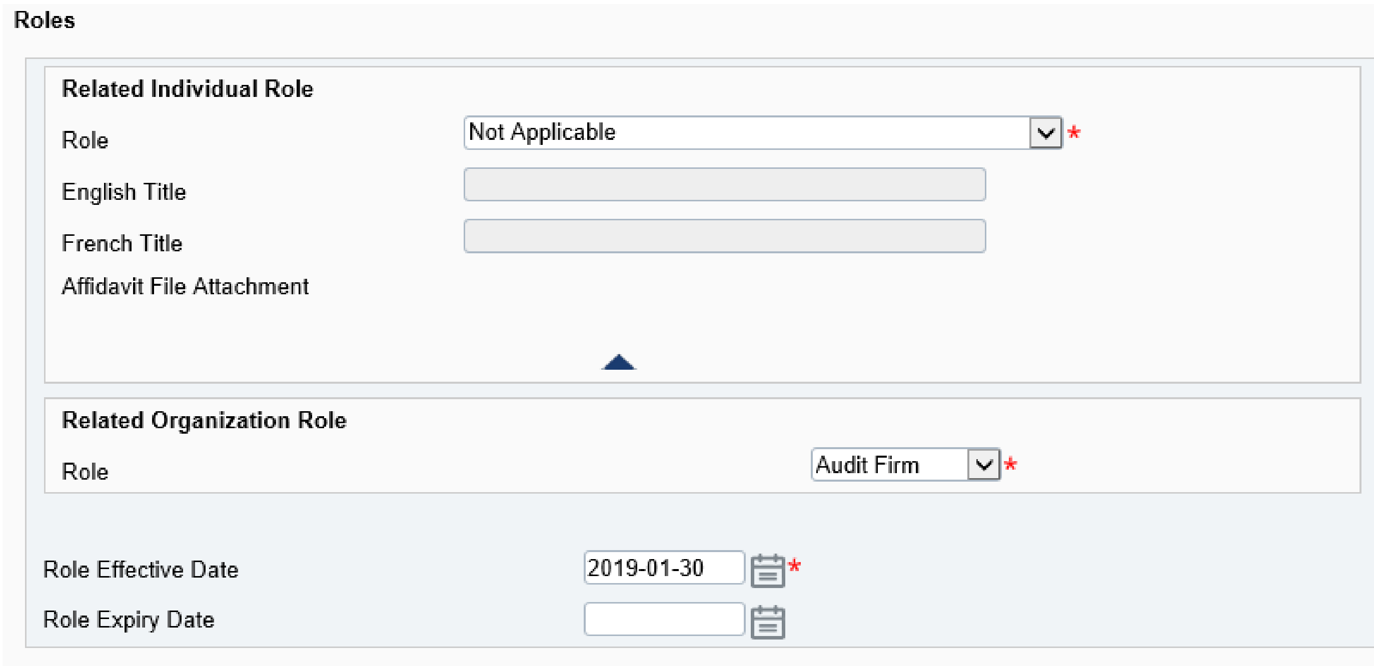


Figure 4.2-12: Add Required Roles and Contact Information Page

13. Under Related Organization Role, choose the appropriate role for the organization (as shown above)
14. Under Related Individual Role, this field will remain as "Not Applicable".
15. Enter the role effective date.
16. Under Contact Information, click on "Add" button to expand box (as shown below)

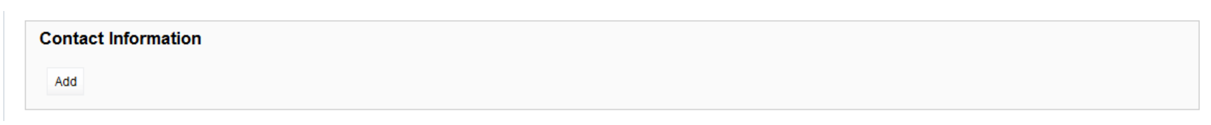


Figure 4.2-13: Add Required Roles and Contact Information Page

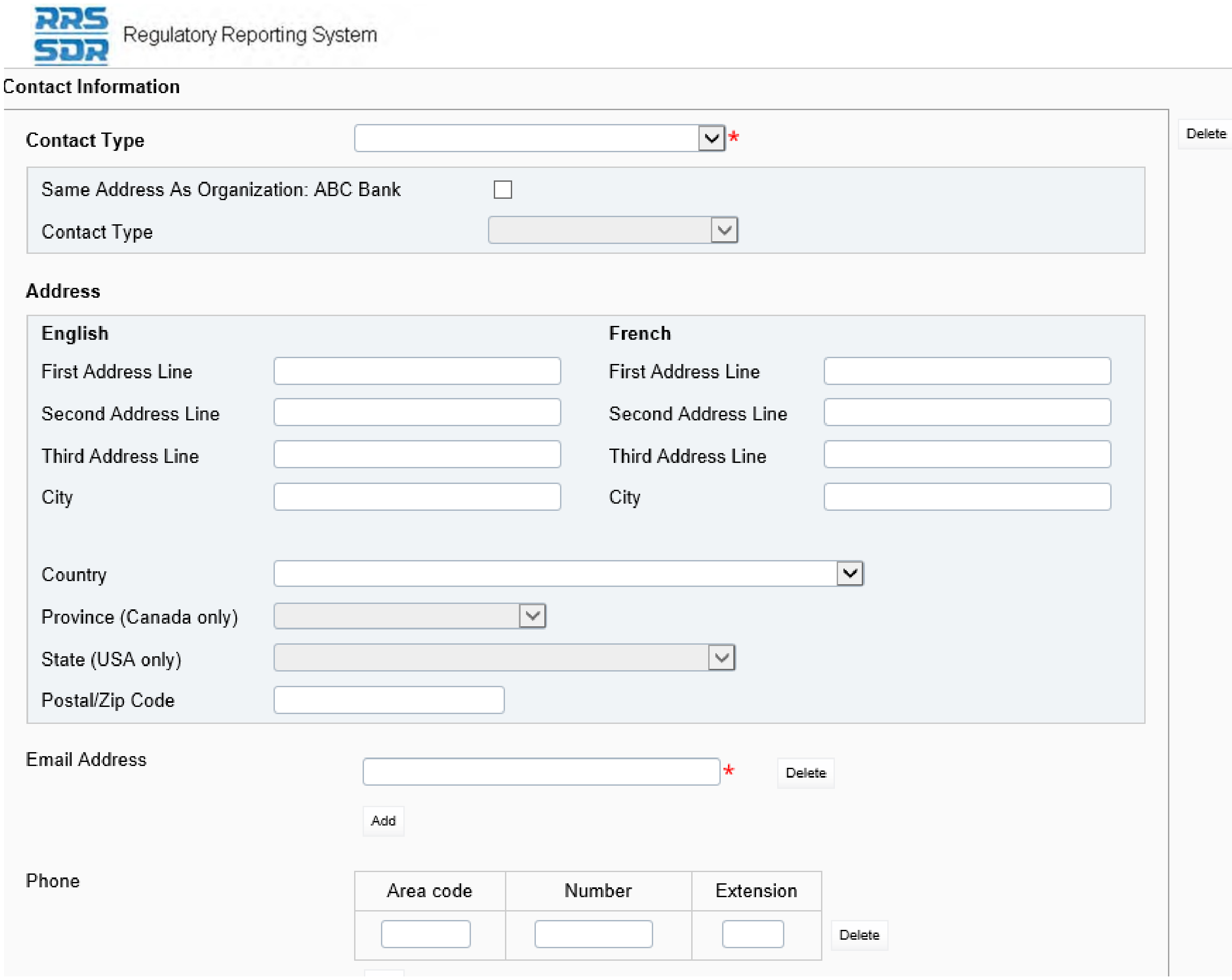


Figure 4.2-14: Add Required Roles and Contact Information Page

17. Under Contact Type, choose “Business Mailing Address”.

	Note
	For a related organization, their contact type must always be set as “Business Mailing Address”.

18. You must then provide a general business email address for the organization, including a general telephone and fax number. (If a general business email address is not available, please provide the email address for the individual related to this organization.)
19. You can now click on the **Validate & Save** button.
20. Your return is now ready to be submitted.

21. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return](#).

4.3 How to Delete an Individual or a Related Organization from your Organization Profile

To delete an individual or a Related Organization from your organization profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to delete an individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

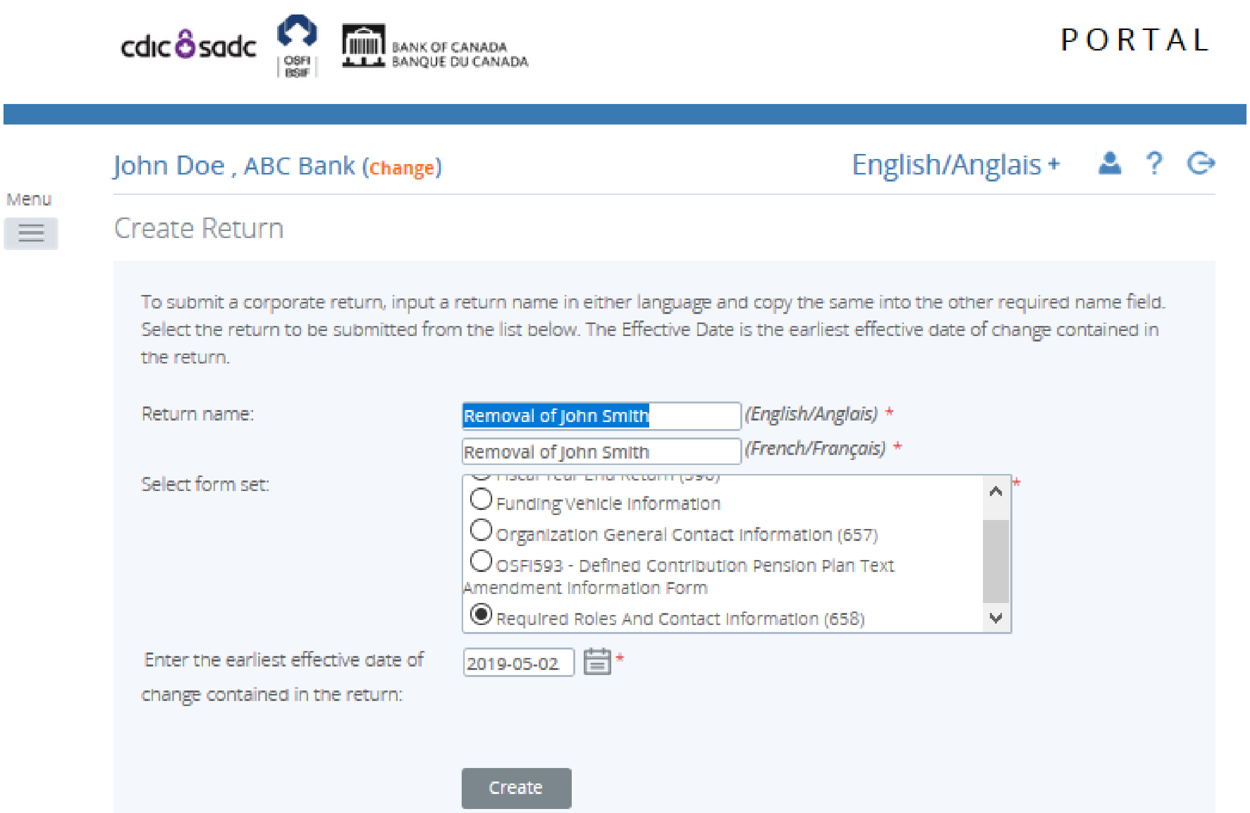


Figure 4.3-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

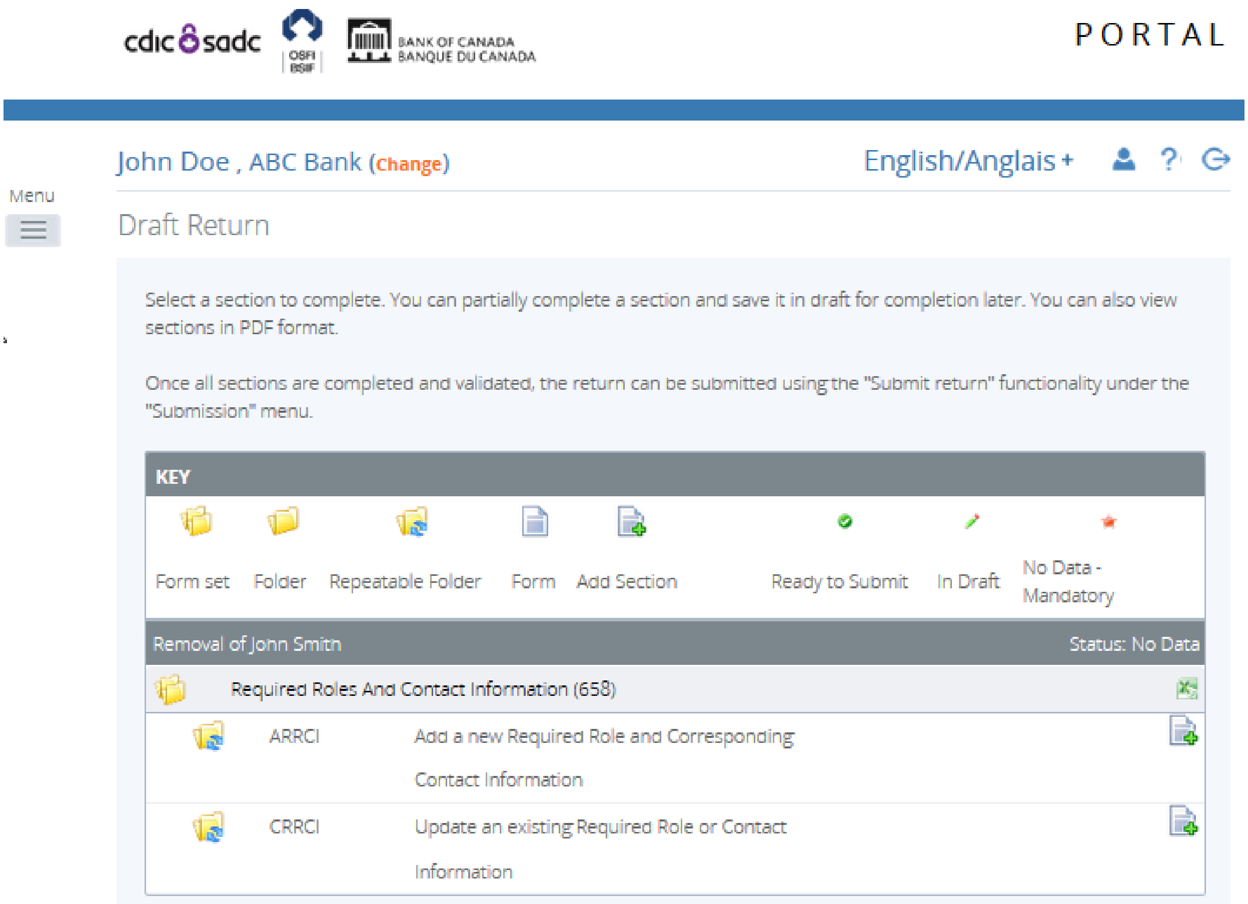
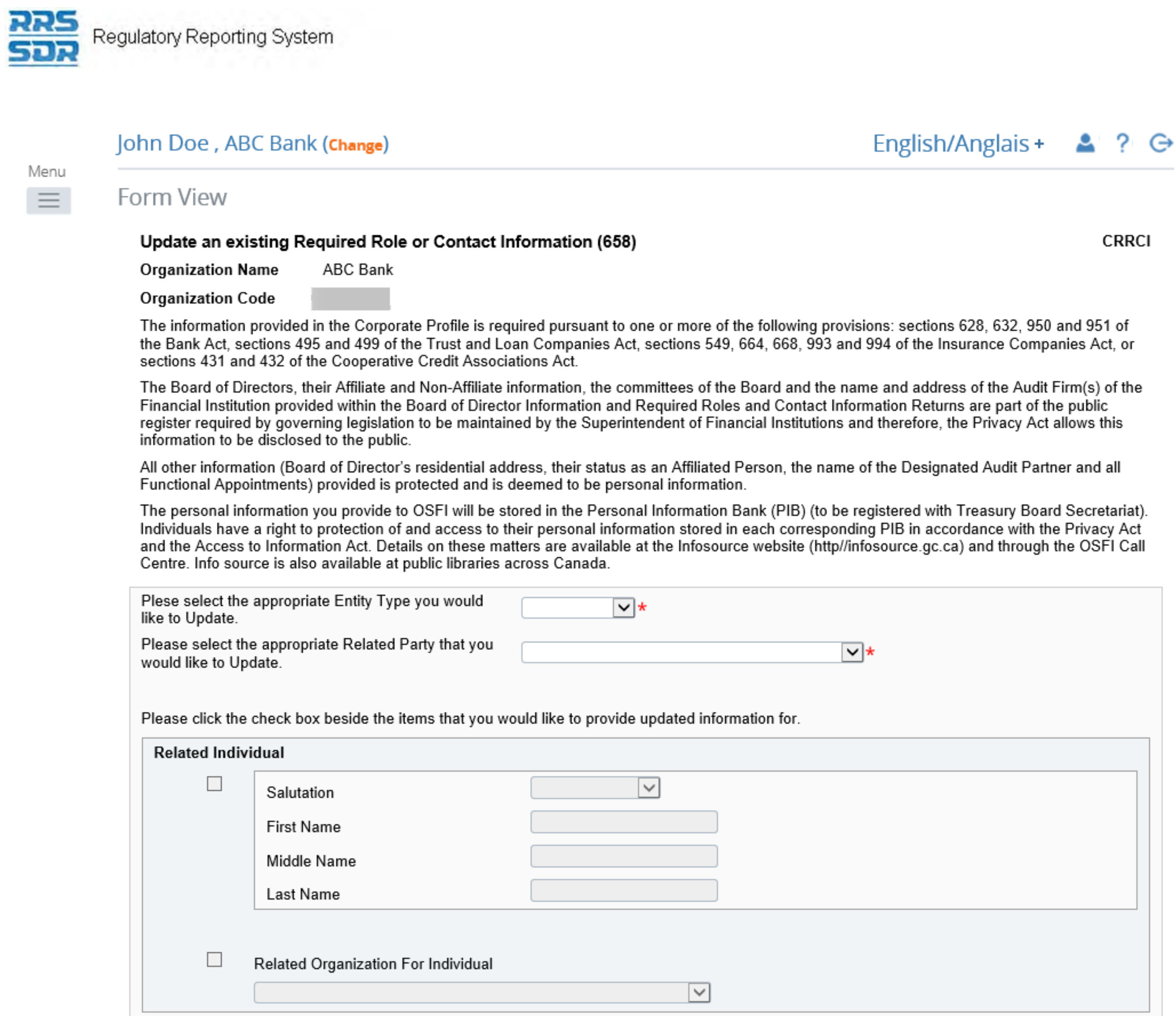


Figure 4.3-2: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”

9. This will open a new worksheet within this section of the return.



Regulatory Reporting System

John Doe , ABC Bank (Change)   English/Anglais +

Menu

Form View

Update an existing Required Role or Contact Information (658)   CRRCI

Organization Name   ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. *

Please select the appropriate Related Party that you would like to Update. *

Please click the check box beside the items that you would like to provide updated information for.

Related Individual

Salutation

First Name

Middle Name

Last Name

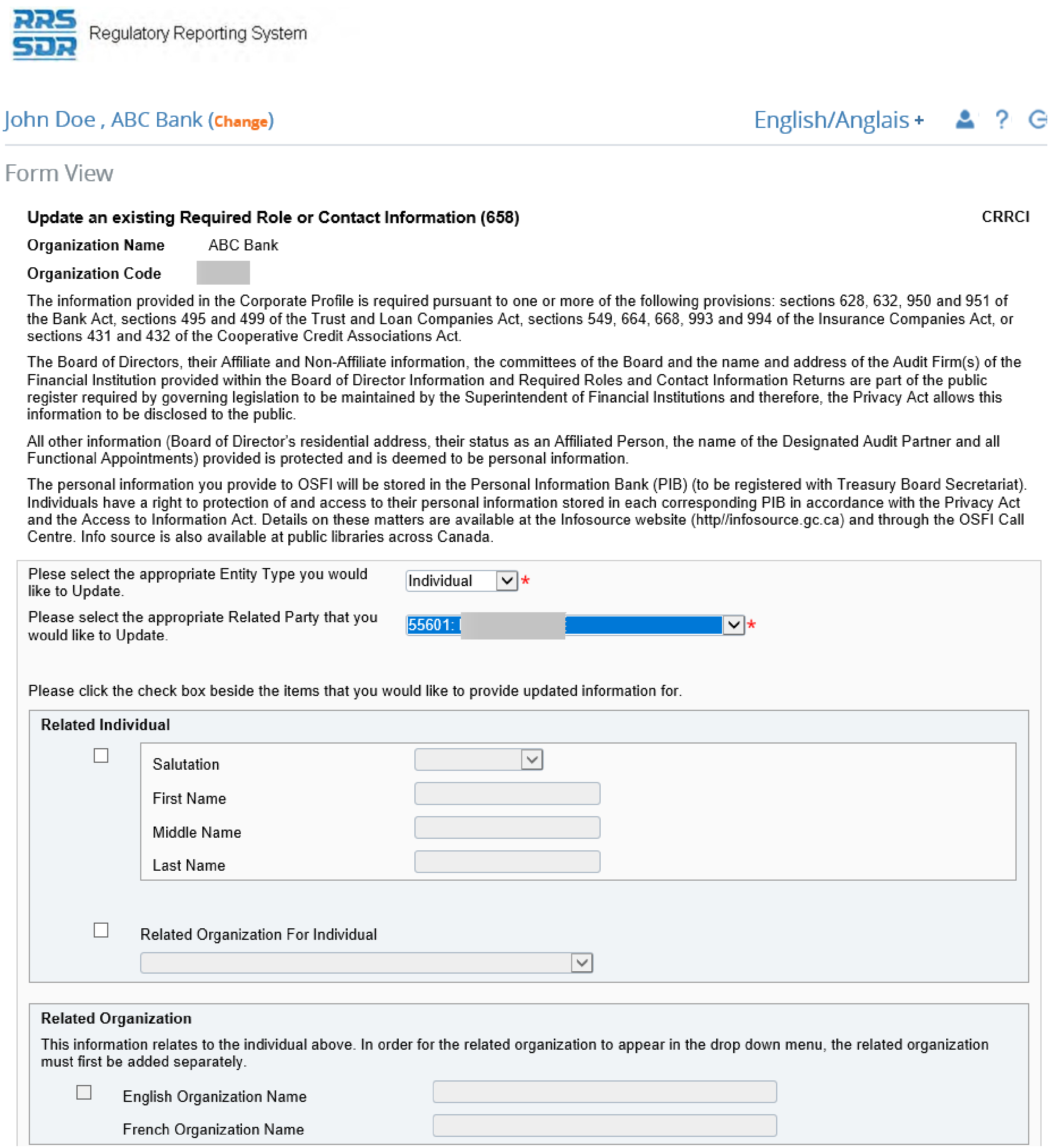
Related Organization For Individual

Figure 4.3-3: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to remove from the drop down menu.

	Note
	The instructions are the same if you are updating a related organization. In this instance, you would choose "Organization" as your entity type and you would then select the name of the related organization from the drop down menu.



RRS SDR Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. 55601: *

Please click the check box beside the items that you would like to provide updated information for.

Related Individual

Salutation

First Name

Middle Name

Last Name

Related Organization For Individual

Related Organization

This information relates to the individual above. In order for the related organization to appear in the drop down menu, the related organization must first be added separately.

English Organization Name

French Organization Name

Figure 4.3-4: Update an existing Required Roles or Contact Information Page

	Note
	On this page, when you are looking to delete an individual or a related organization, the Related Individual and Related Organization sections above will always remain blank. These two sections are only to be used when you wish to make a change to an individual's name (i.e. Jane Smith changes to Jane O'Connor) or a related organization's name (i.e. Price Waterhouse changes to PricewaterhouseCoopers).

12. Under Roles, click on "Add" button to expand box (as shown below).

Figure 4.3-5: Update an existing Required Roles or Contact Information Page

13. Under Indicate whether you wish to add a new role or update an existing role, choose "Update".
14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
15. Under Related Organization Role, this field will remain as "Not Applicable".
16. Check box to the left of Role Expiry Date, this will enable to date field on the right hand side.
17. Select the appropriate Role Expiry Date.

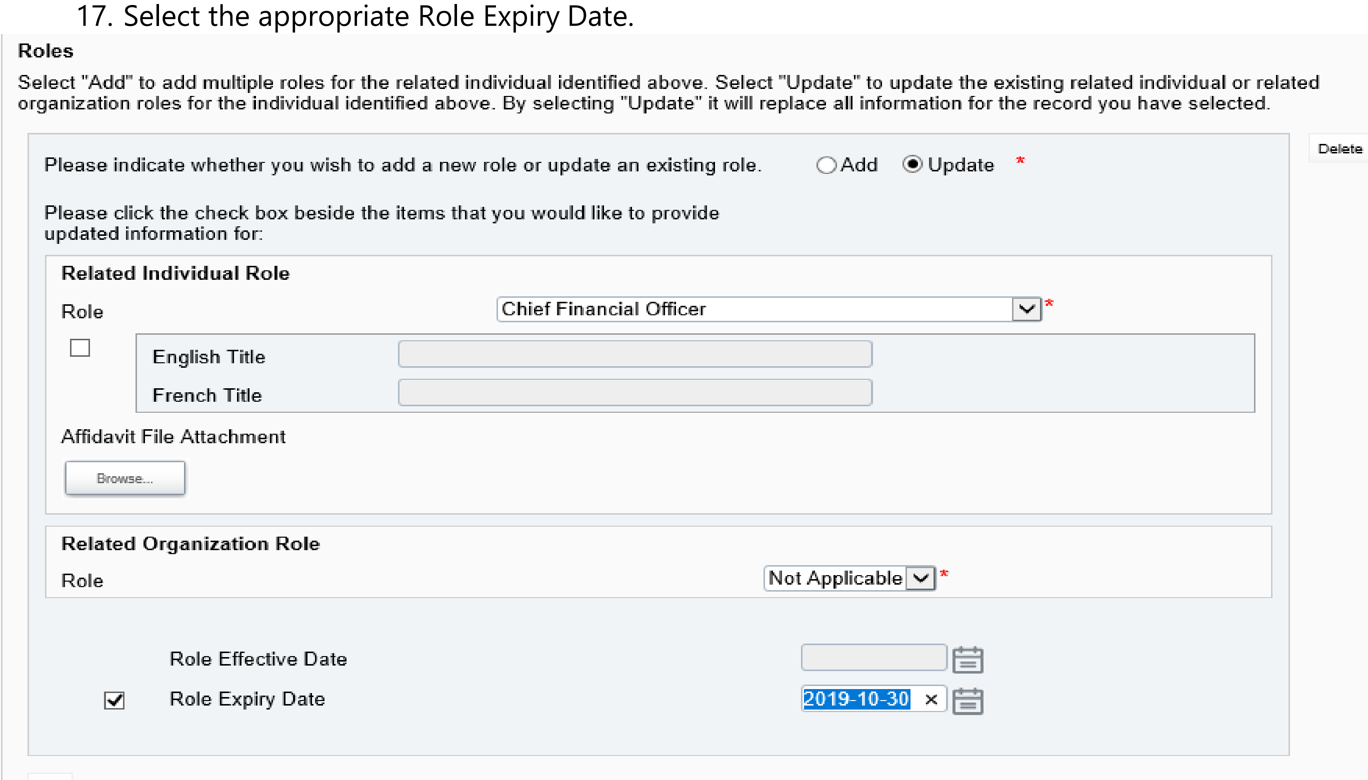


Figure 4.3-6: Update an existing Required Roles or Contact Information Page

	Note
	If the individual you are looking to remove from your organization profile has multiple roles a role expiry date is required for each role the individual holds by following steps 12 to 17 above for each unique role.

18. You can now click on the **Validate & Save** button.
19. Your return is now ready to be submitted.
20. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

	Note
	When you are removing and adding an individual on the same effective date (i.e. the CEO of your organization has resigned and you are adding a new CEO), you are required to use one return to make both changes. Additions and deletions can be made within the same return filing.

	Reminder
	The system will NOT allow you to create two identical returns with the same effective date.

4.4 How to Add Multiple Roles to an Existing Individual within your Organization Profile

To add multiple roles to an existing individual within your Organization Profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to add multiple roles to an existing individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

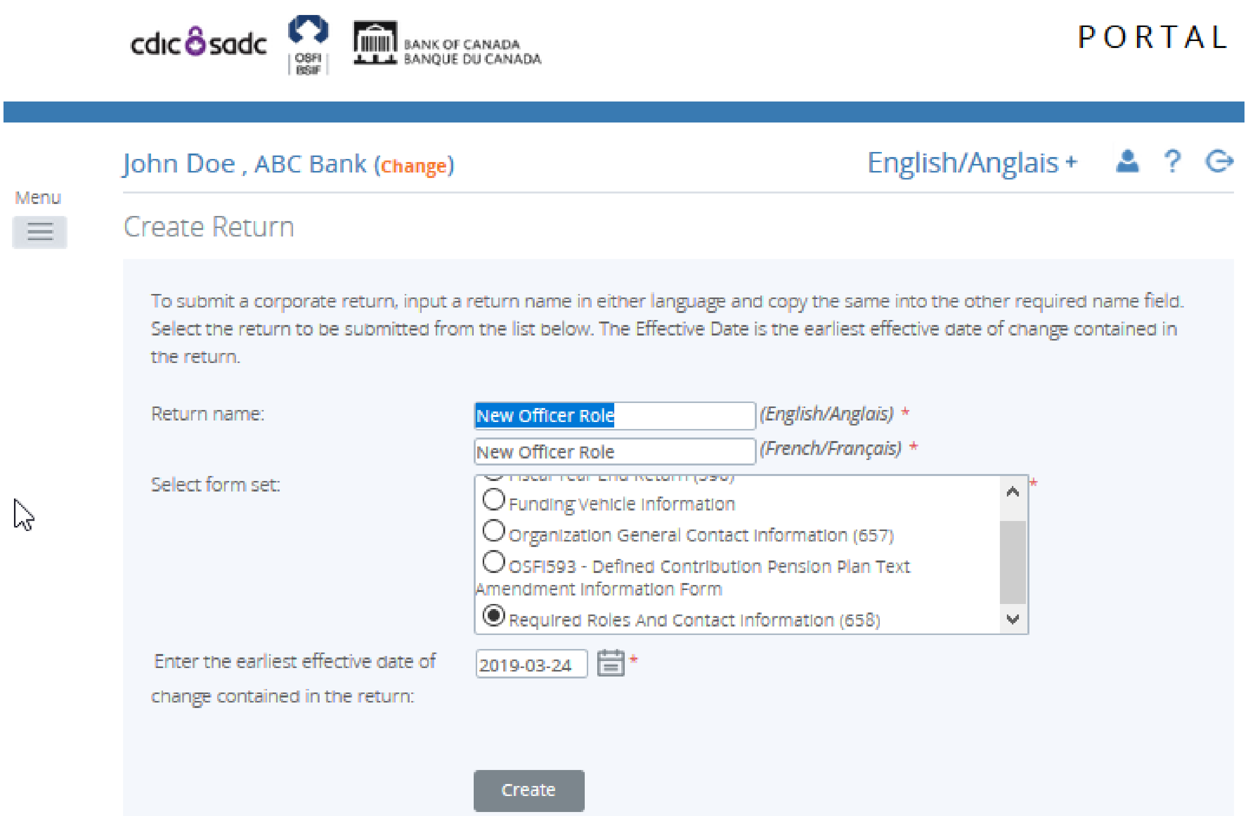


Figure 4.4-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

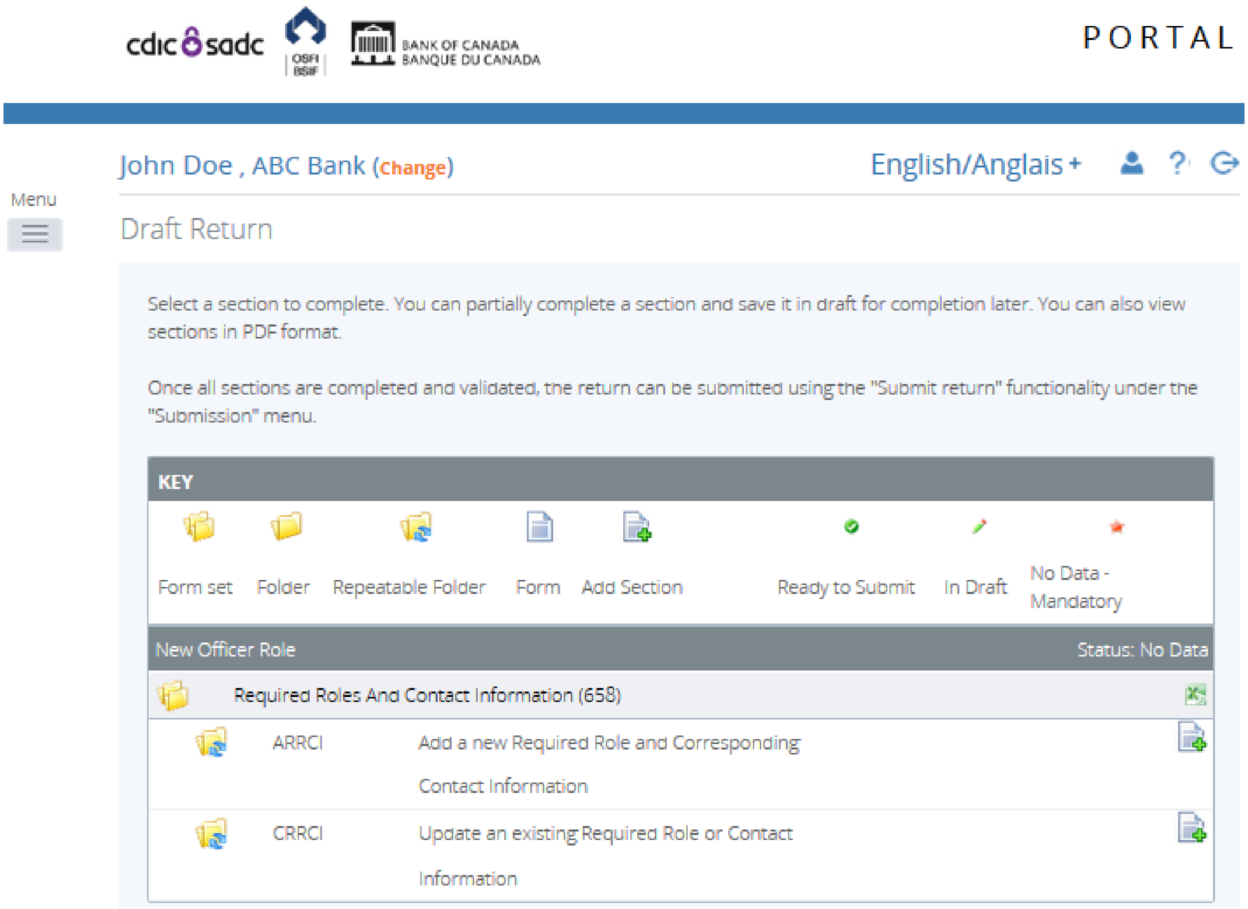
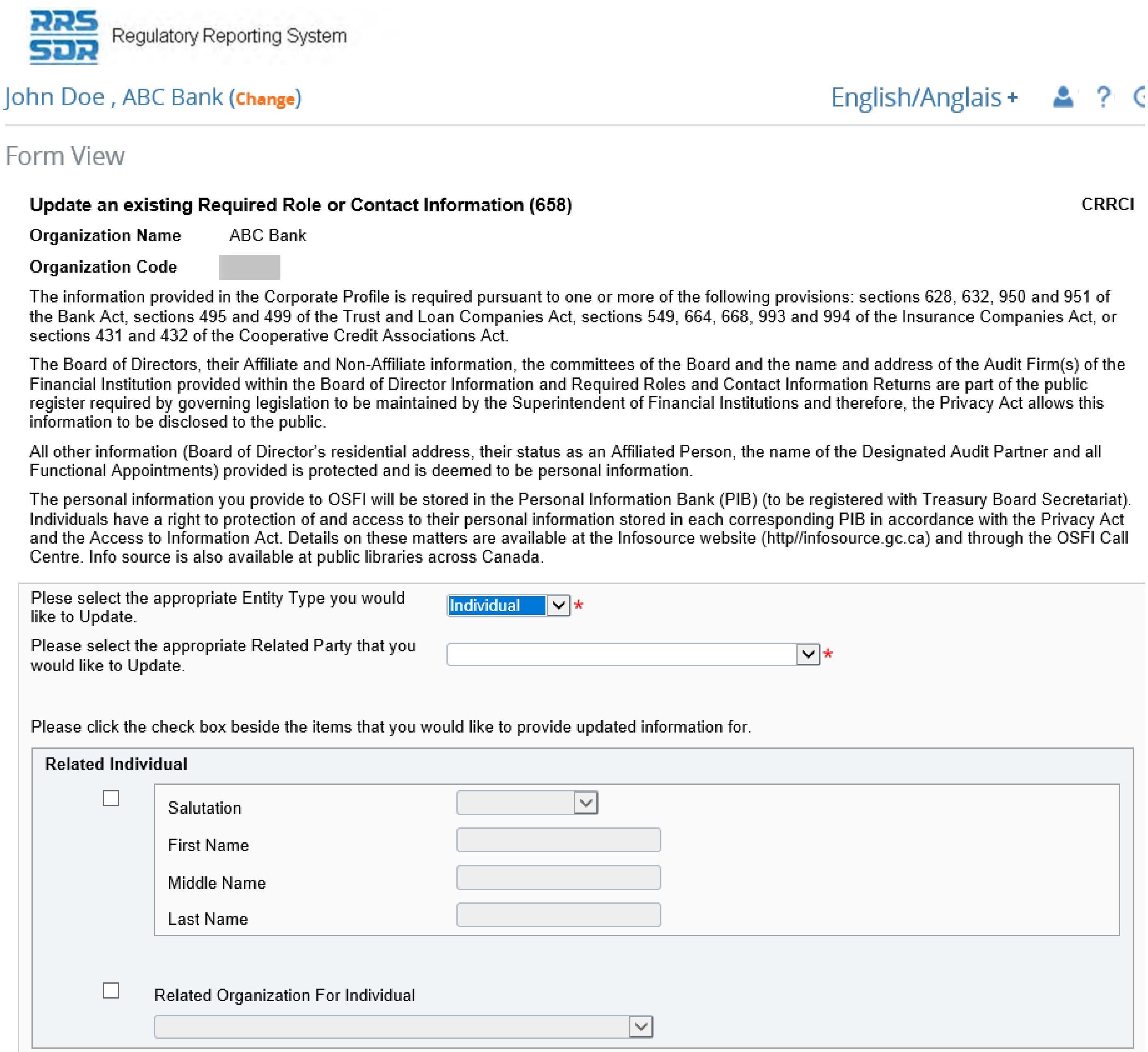


Figure 4.4-2: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”

9. This will open a new worksheet within this section of the return.



Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. *

Please click the check box beside the items that you would like to provide updated information for.

Related Individual

Salutation

First Name

Middle Name

Last Name

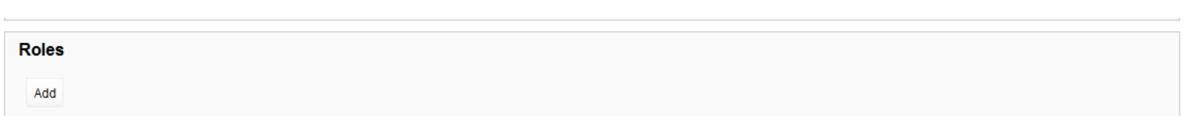
Related Organization For Individual

Figure 4.4-3: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to add additional roles from the drop down menu.

12. Under Roles, click on "Add" button to expand box (as shown below).



Roles

Add

Figure 4.4-4: Update an existing Required Roles or Contact Information Page

13. Under Indicate whether you wish to add a new role or update an existing role, choose "Add".

14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)

15. Add the individual's title, if different than the title of the role.

16. Under Related Organization Role, this field will remain as "Not Applicable".

17. Select the appropriate Role Effective Date.

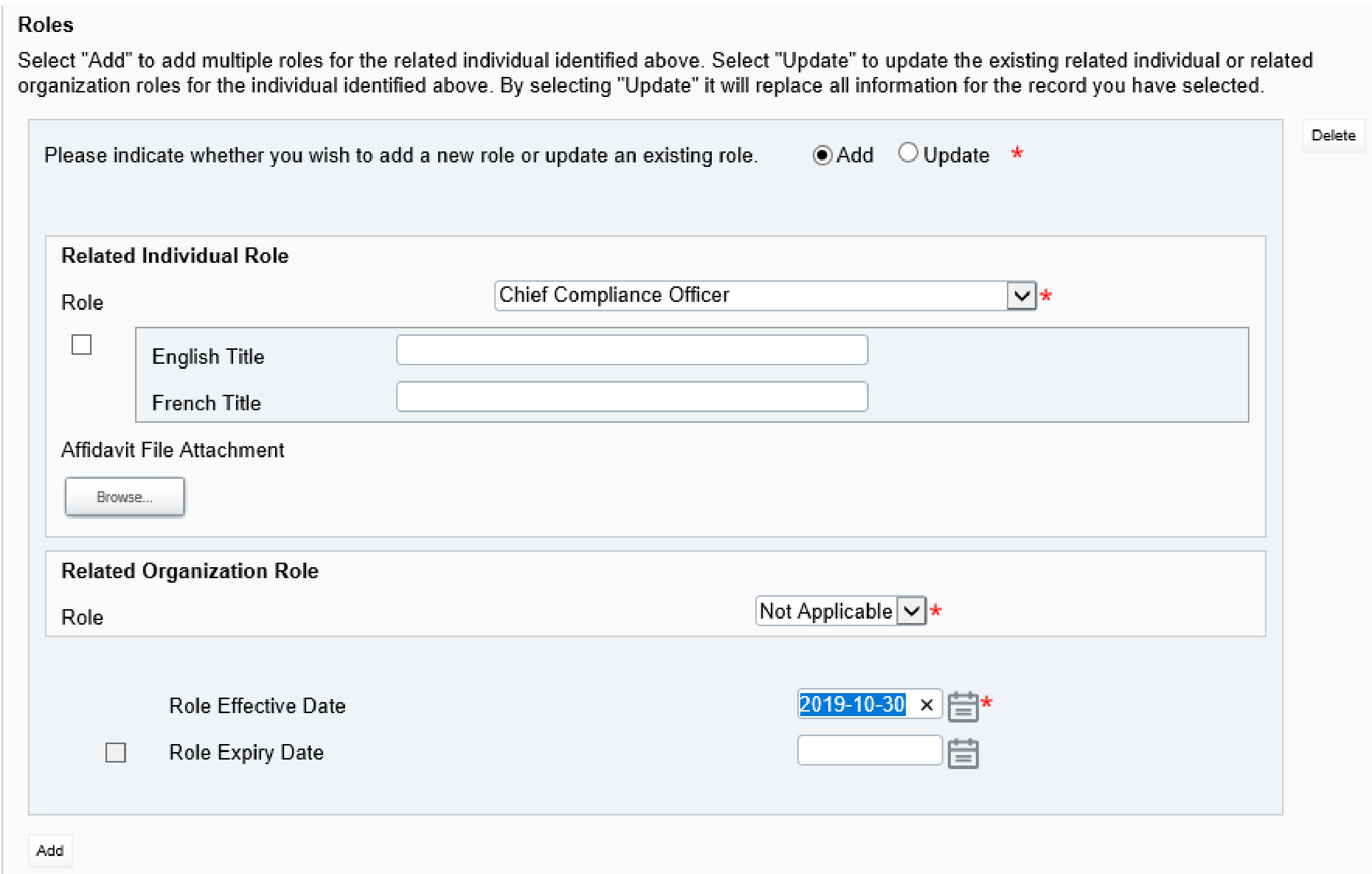


Figure 4.4-5: Update an existing Required Roles or Contact Information Page

18. You can now click on the **Validate & Save** button.

19. Your return is now ready to be submitted.

20. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return]().

4.5 How to Update Information to an Existing Individual/Related Organization within your Organization Profile

To update any information to an existing individual or related organization within your Organization Profile, such as their contact information, their name or their title, you must use the Required Roles and Contact Information Return. The following are instructions on how to update information to an existing individual or related organization.

4.5.1 How to Update Contact Information for an Existing Individual/Related Organization within your Organization Profile

The following instructions relate to when the contact information for an existing related individual or related organization within your organization profile has changed. This includes any changes to mailing addresses, email addresses, telephone or fax numbers.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

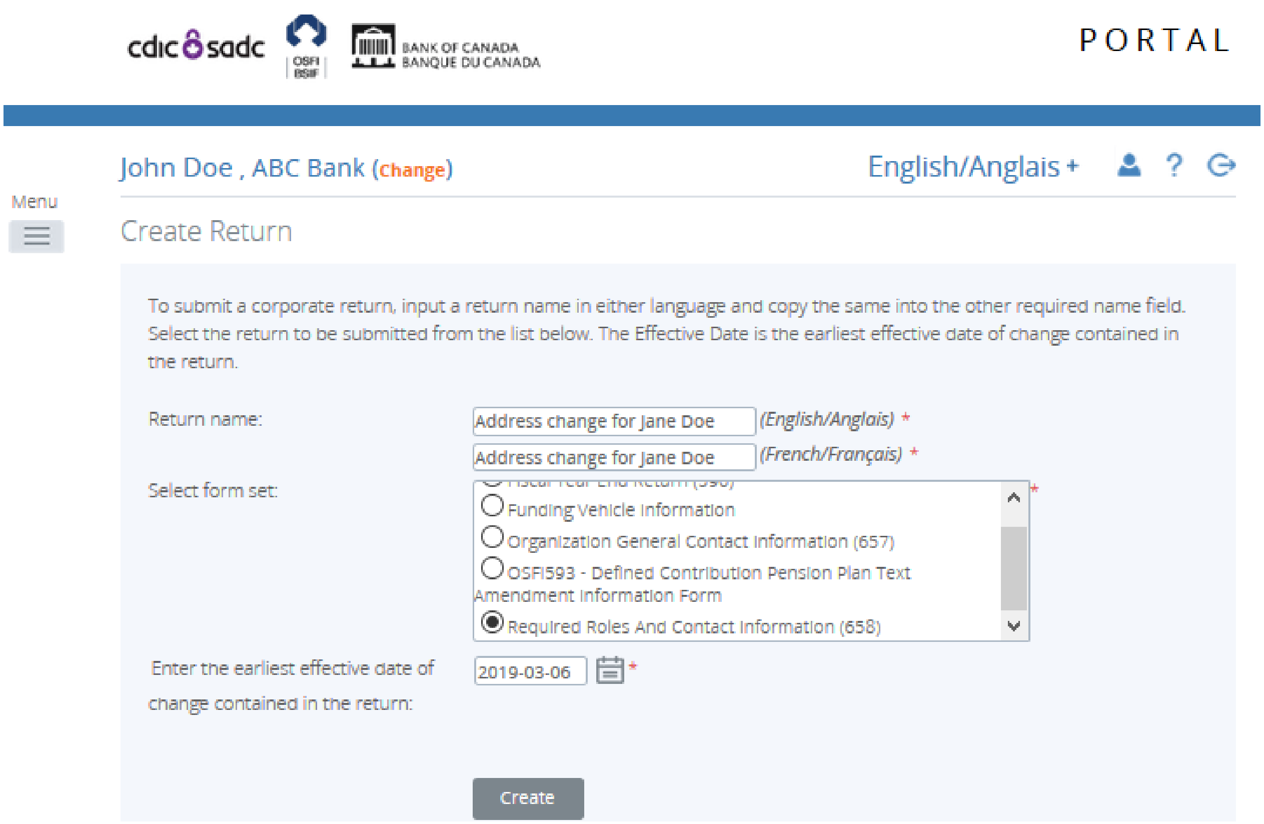


Figure 4.5-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

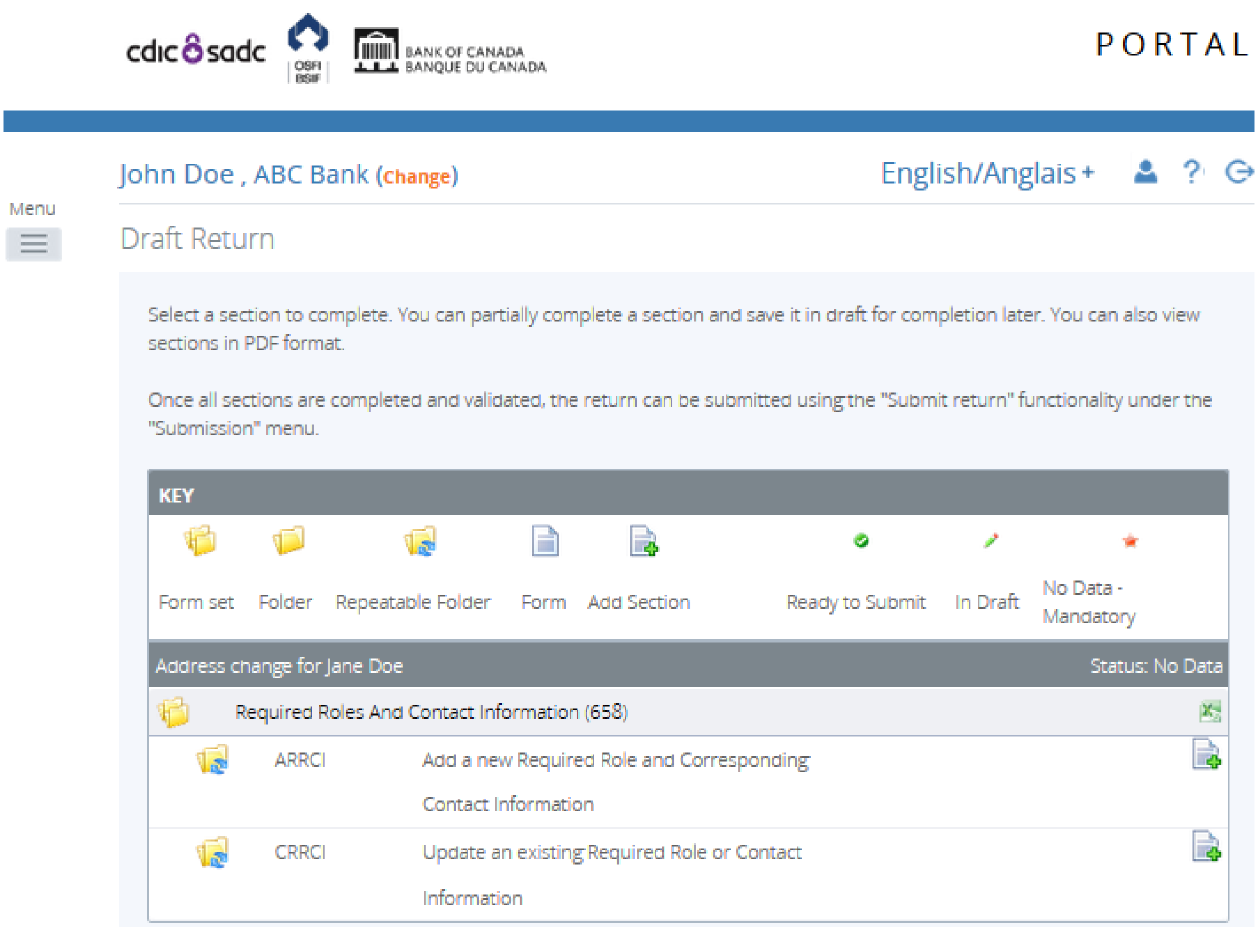
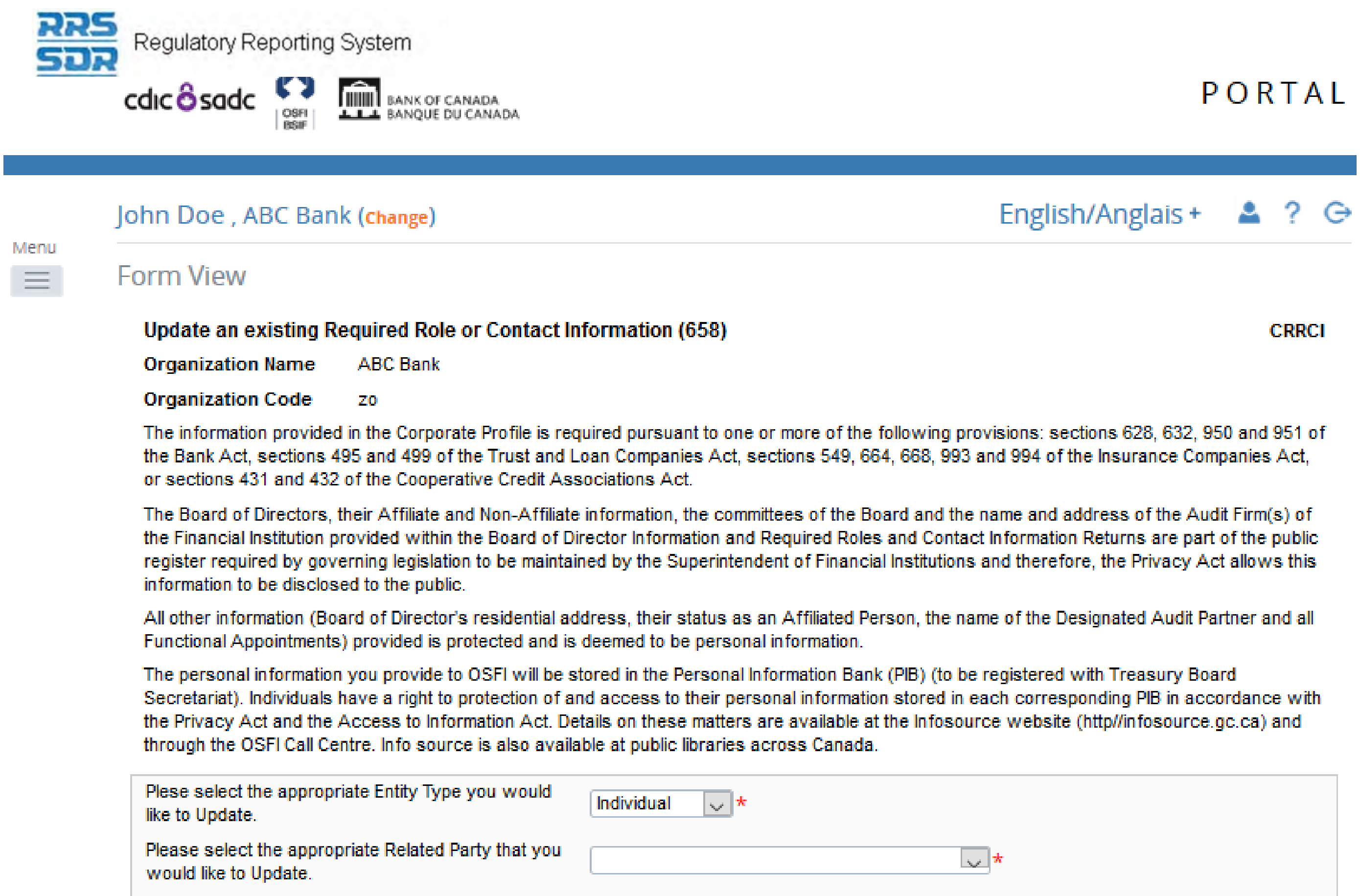


Figure 4.5-2: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”.
9. This will open a new worksheet within this section of the return.



Regulatory Reporting System

PORTAL

John Doe , ABC Bank (Change)

English/Anglais +

Menu

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code zo

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

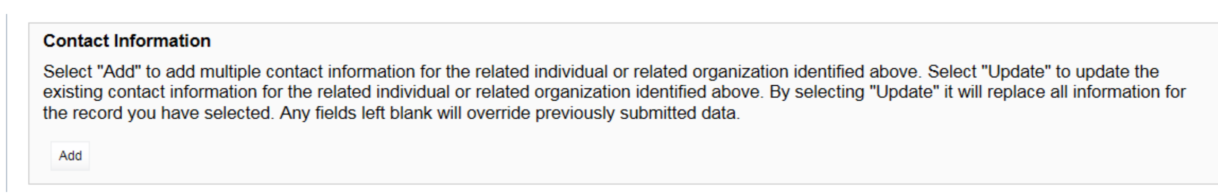
The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. *

Figure 4.5-3: Update an existing Required Role or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).
11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their contact information from the drop down menu.
12. Under Contact Information, click on "Add" button to expand box (as shown below).



Contact Information

Select "Add" to add multiple contact information for the related individual or related organization identified above. Select "Update" to update the existing contact information for the related individual or related organization identified above. By selecting "Update" it will replace all information for the record you have selected. Any fields left blank will override previously submitted data.

Add

Figure 4.5-4: Update an existing Required Roles or Contact Information Page

13. Under Select "Add" or "Update", click on "Update".
14. Under Select the Contact Type, choose the appropriate contact type you wish to update, as shown in your organization profile (see example below).

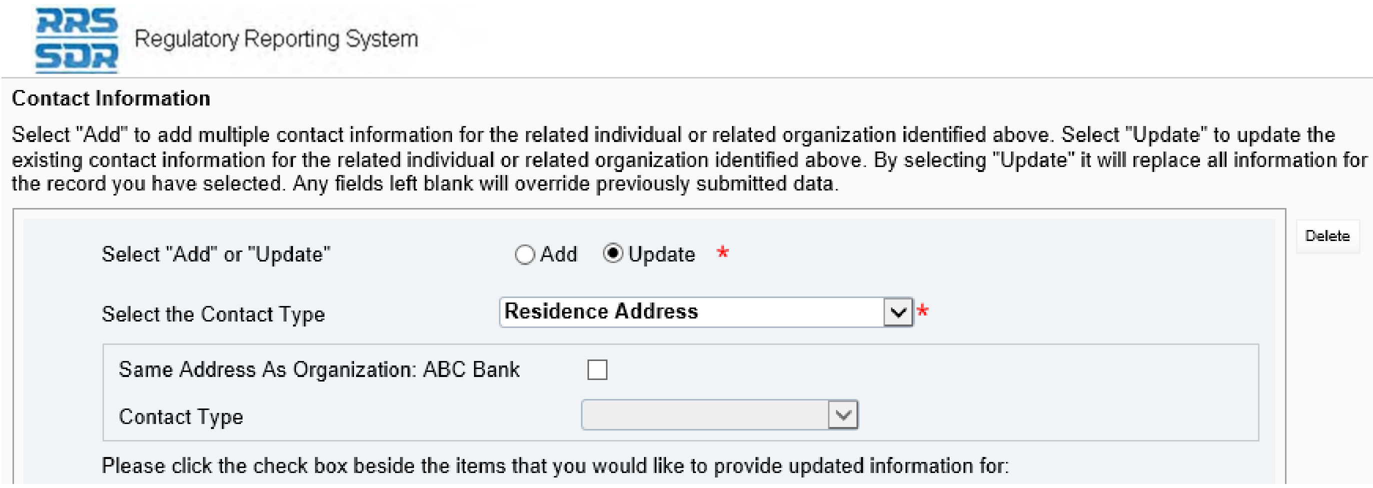
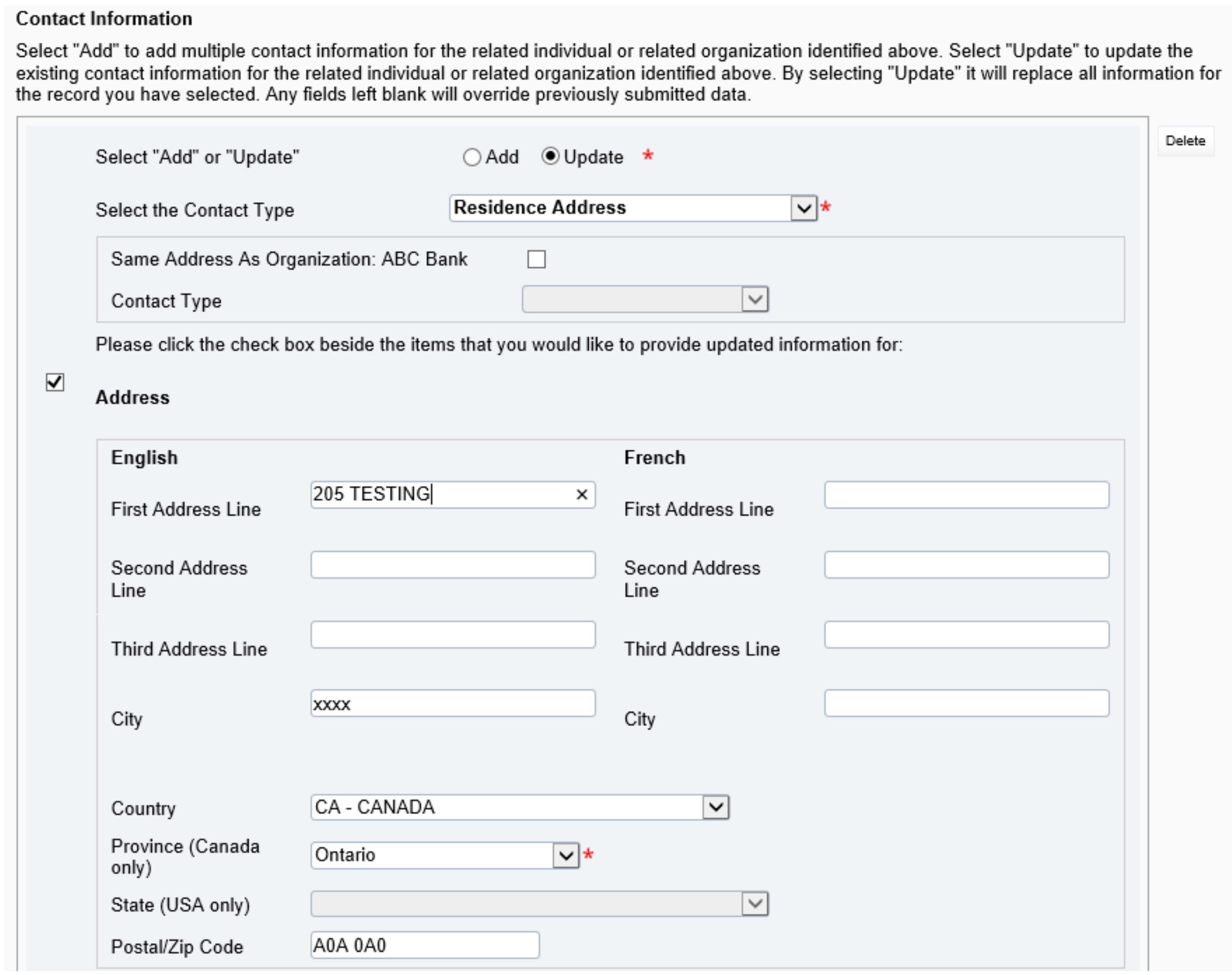


Figure 4.5-5: Update an existing Required Roles or Contact Information Page

15. Please click the check box beside the item(s) that you would like to provide updated information for. You can choose to only update the individual's address, or email address, or phone, or fax number. You can also choose to update multiple fields at one time.

16. If you need to update the individual's address, you must re-enter the complete address (even if, for example, the only change required is to the postal code) (see example below).


Contact Information

Select "Add" to add multiple contact information for the related individual or related organization identified above. Select "Update" to update the existing contact information for the related individual or related organization identified above. By selecting "Update" it will replace all information for the record you have selected. Any fields left blank will override previously submitted data.

Delete

Select "Add" or "Update" ( ) Add (•) Update *

Select the Contact Type: Residence Address *

Same Address As Organization: ABC Bank

Contact Type

Please click the check box beside the items that you would like to provide updated information for:

Address

English		French	
First Address Line	205 TESTING	First Address Line	
Second Address Line		Second Address Line	
Third Address Line		Third Address Line	
City	xxxx	City	
Country	CA - CANADA		
Province (Canada only)	Ontario *		
State (USA only)			
Postal/Zip Code	A0A 0A0		

Figure 4.5-6: Update an existing Required Roles or Contact Information Page

Reminder

The address information only needs to be filled out in the language of your choice. You are not required to fill in both the English and the French fields.

17. If, for example, you wish to add multiple email addresses for an individual, both the existing email address on file as well as the new email address needs to be provided (see example below). Otherwise, you simply enter the updated email address in this field and this will update the existing email address on your profile.

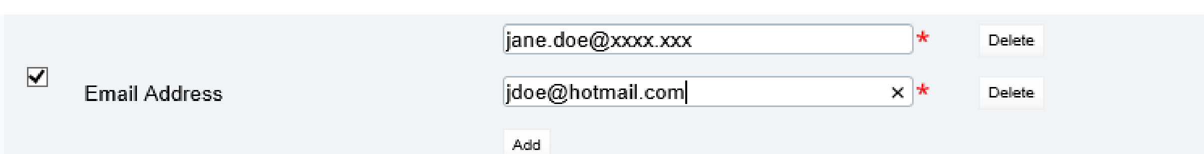


Figure 4.5-7: Update an existing Required Roles or Contact Information Page

18. If, for example, you wish to add multiple telephone or fax numbers for an individual, both the existing number on file as well as the new number needs to be provided (see example below). Otherwise, you simply enter the updated telephone or fax number in this field and this will update the existing email address on your profile.

19. , you can now click on the **Validate & Save** button.

20. Your return is now ready to be submitted.

21. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return].

4.5.2 How to Update Role Titles for an Existing Individual's within your Organization Profile

The following instructions relate to when an existing related individual's title within your organization profile has changed.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

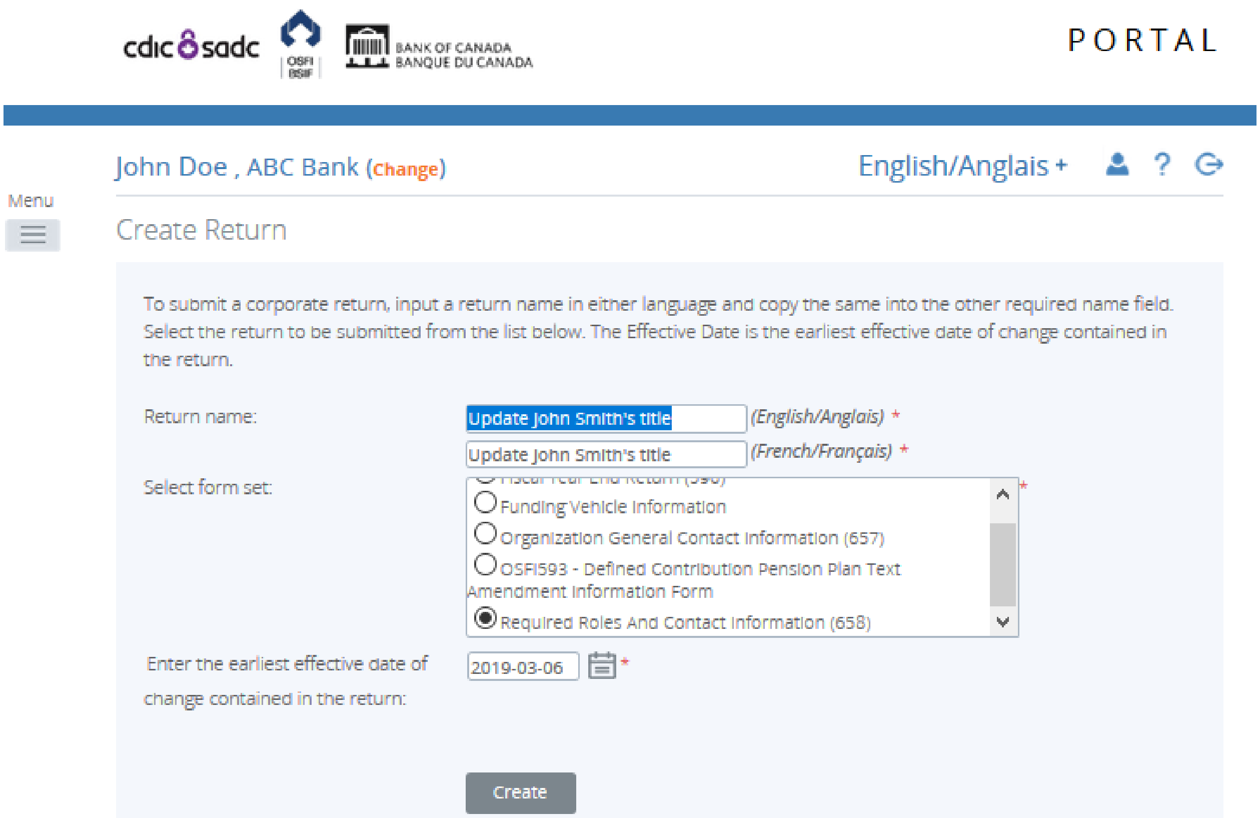


Figure 4.5-9: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

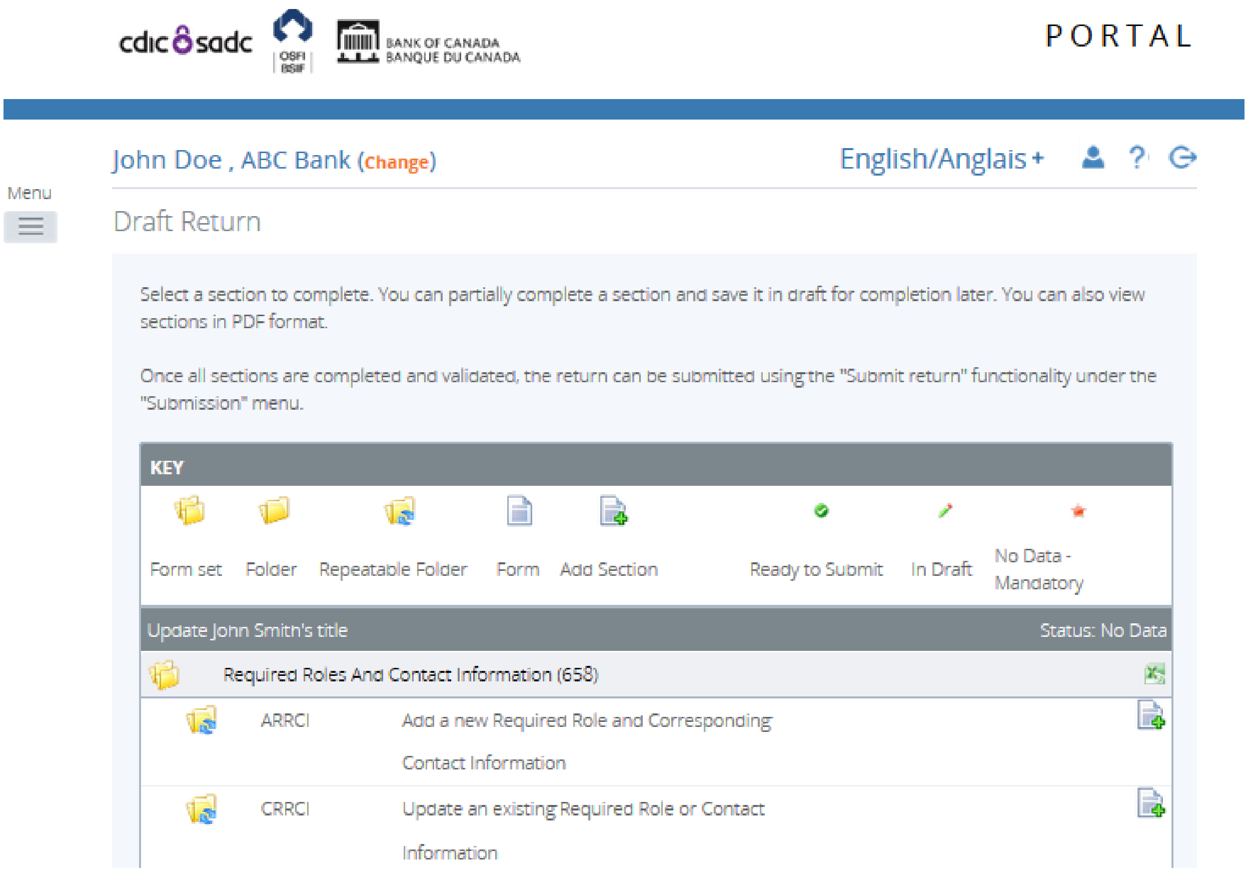
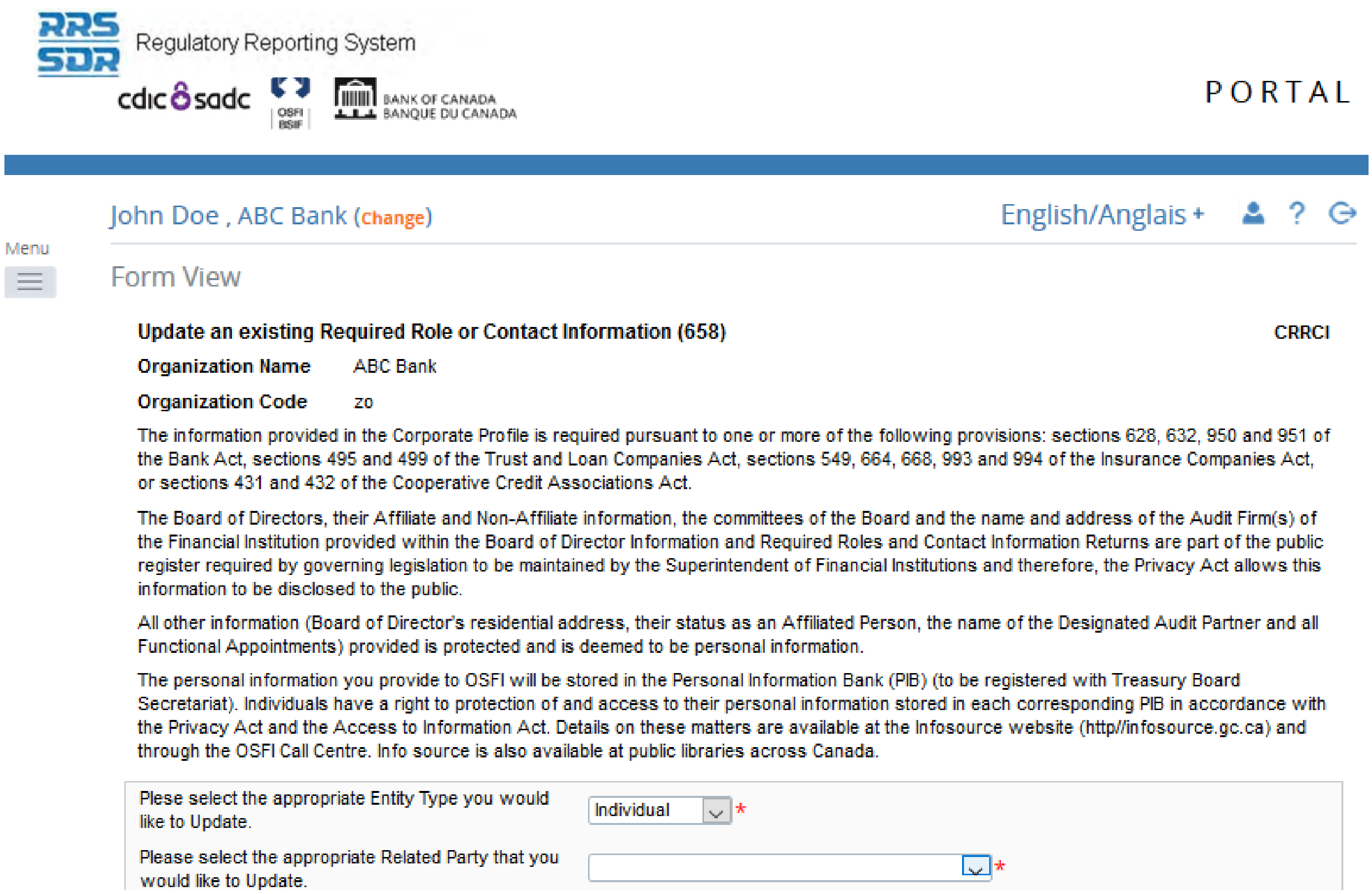


Figure 4.5-10: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”.

9. This will open a new worksheet within this section of the return.


Regulatory Reporting System

PORTAL

John Doe , ABC Bank (change)   English/Anglais +

Menu

Form View

Update an existing Required Role or Contact Information (658)   **CRRCI**

Organization Name   ABC Bank

Organization Code   zo

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

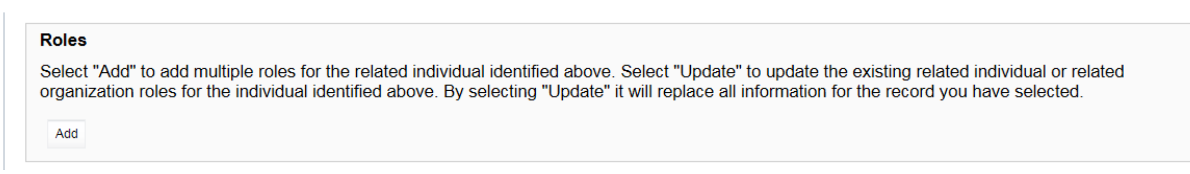
The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update.   Individual *

Please select the appropriate Related Party that you would like to Update.   *

Figure 4.5-11: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).
11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.
12. Under Roles, click on "Add" button to expand box (as shown below).


Roles

Select "Add" to add multiple roles for the related individual identified above. Select "Update" to update the existing related individual or related organization roles for the individual identified above. By selecting "Update" it will replace all information for the record you have selected.

Add

Figure 4.5-12: Update an existing Required Roles or Contact Information Page

13. Under Please indicate whether you wish to add a new role or update an existing role, click on "Update".
14. Under Related Individual Role, choose the role of the individual you are looking to update, as shown in your profile, from the drop down menu.
15. Check the box on the left hand side next to English Title; this will enable to role title field.
16. Enter the new role title for the individual (see example below).

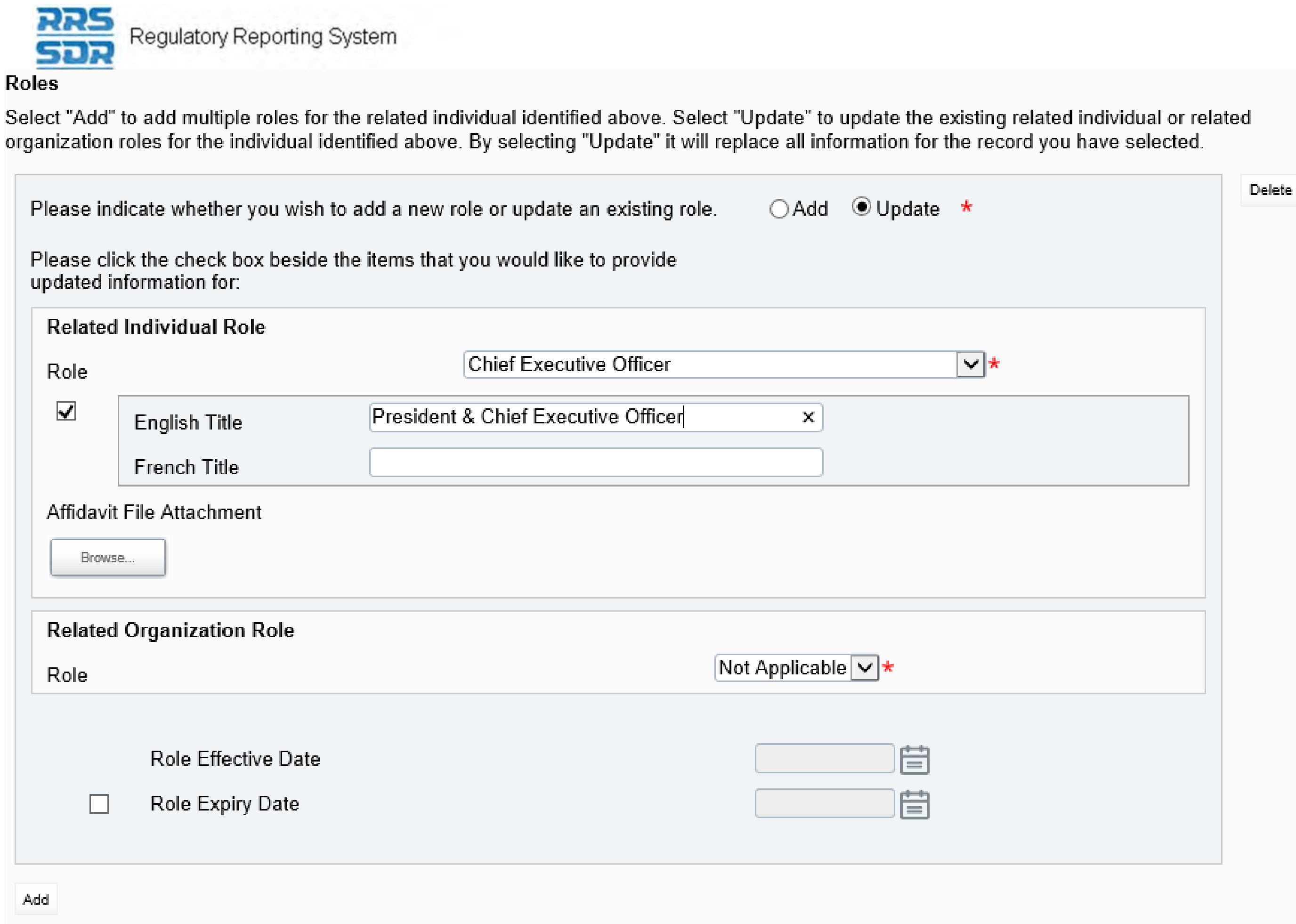


Figure 4.5-13: Update an existing Required Roles or Contact Information Page

17. You can now click on the **Validate & Save** button.
18. Your return is now ready to be submitted.
19. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return](#).

4.5.3 How to Update an Existing Individual’s Name within your Organization Profile

The following instructions relate to when the name of an existing related individual within your organization profile has changed. This type of change normally only occurs after a marriage or divorce has taken place.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

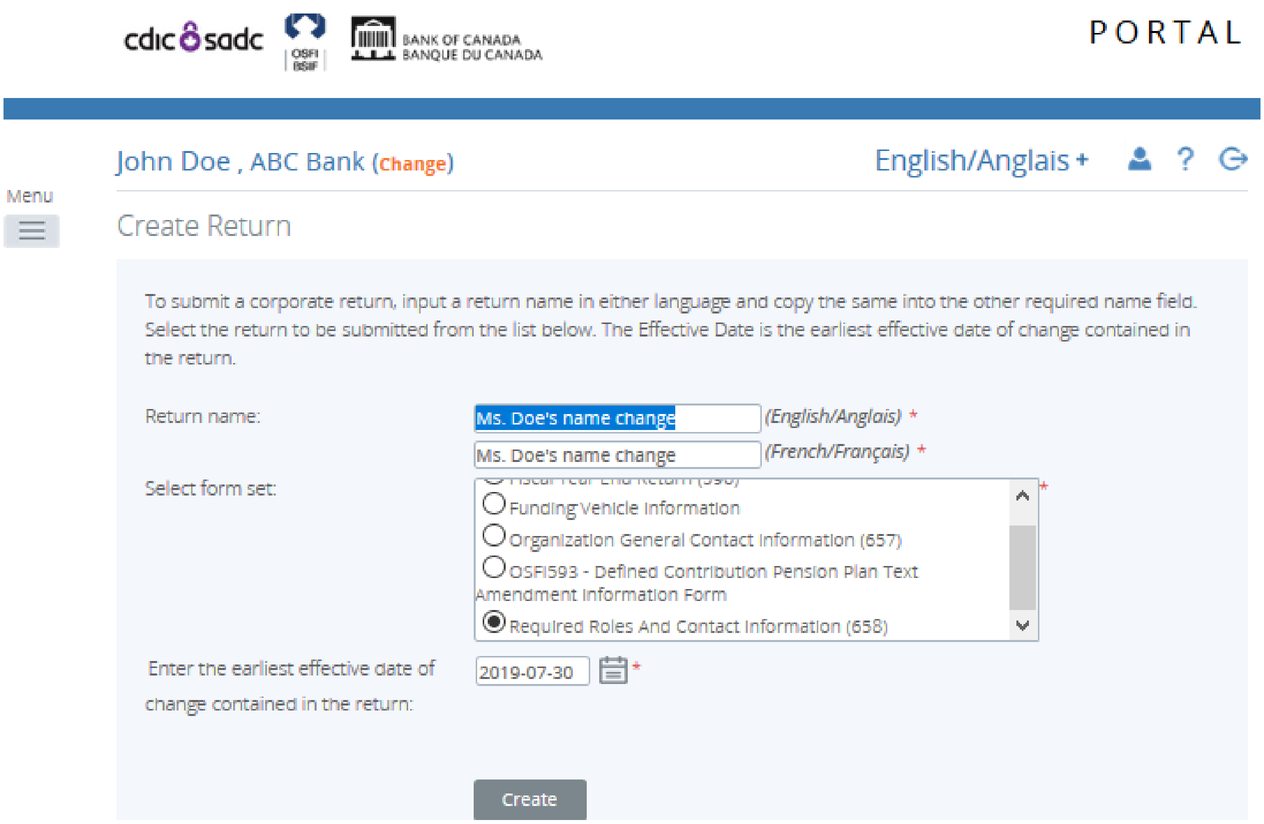


Figure 4.5-14: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

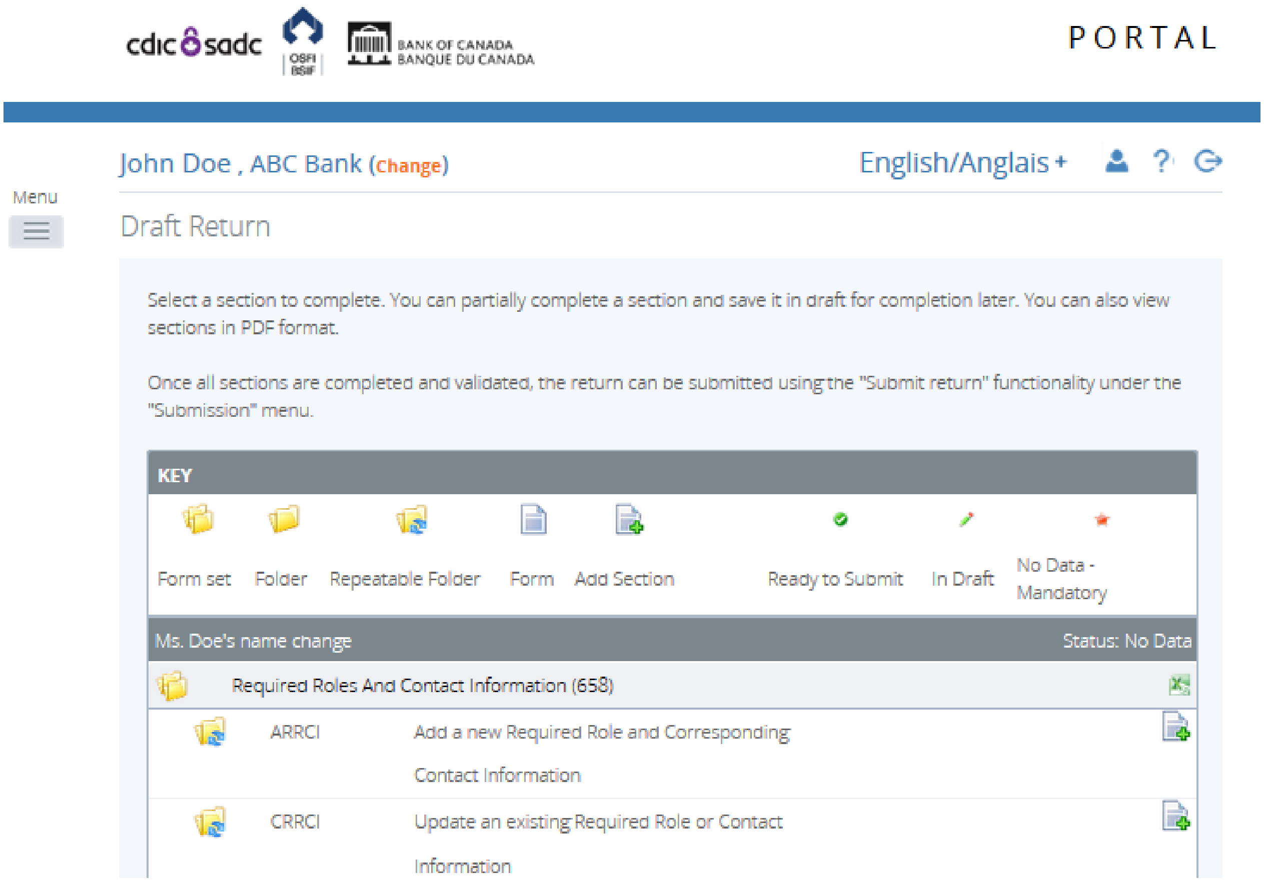
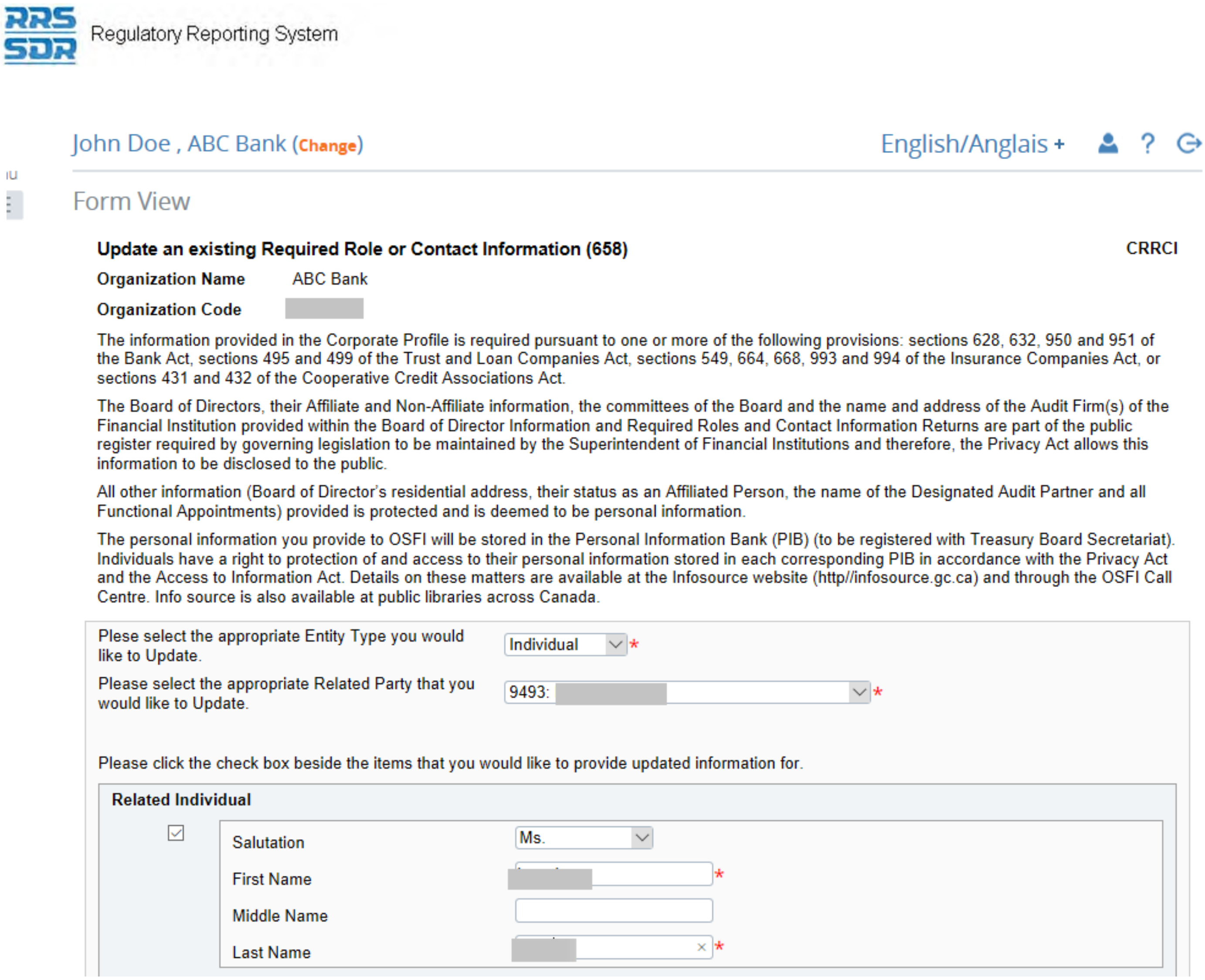


Figure 4.5-15: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”.

9. This will open a new worksheet within this section of the return.


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. 9493: *

Please click the check box beside the items that you would like to provide updated information for.

Related Individual

Salutation	Ms.
First Name	*
Middle Name	
Last Name	*

Figure 4.5-16: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual".
11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.
12. Check the box on the left hand side below Related Individual; this will enable the name field.
13. Enter the revised full name of the individual (see example above).
14. You can now click on the **Validate & Save** button.
15. Your return is now ready to be submitted.
16. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return

4.5.4 How to Update an Existing Related Organization's Name within your Organization Profile

The following instructions relate to when the name of an existing related organization within your organization profile has changed. Related Organizations may include anything from Audit Firms, Actuarial Firms, Third Party Companies, Consulting Firms, etc. The following example shows a name change in an Audit Firm.

1. Hover your mouse over the Manage Returns menu item.

2. Click **Create Return**.

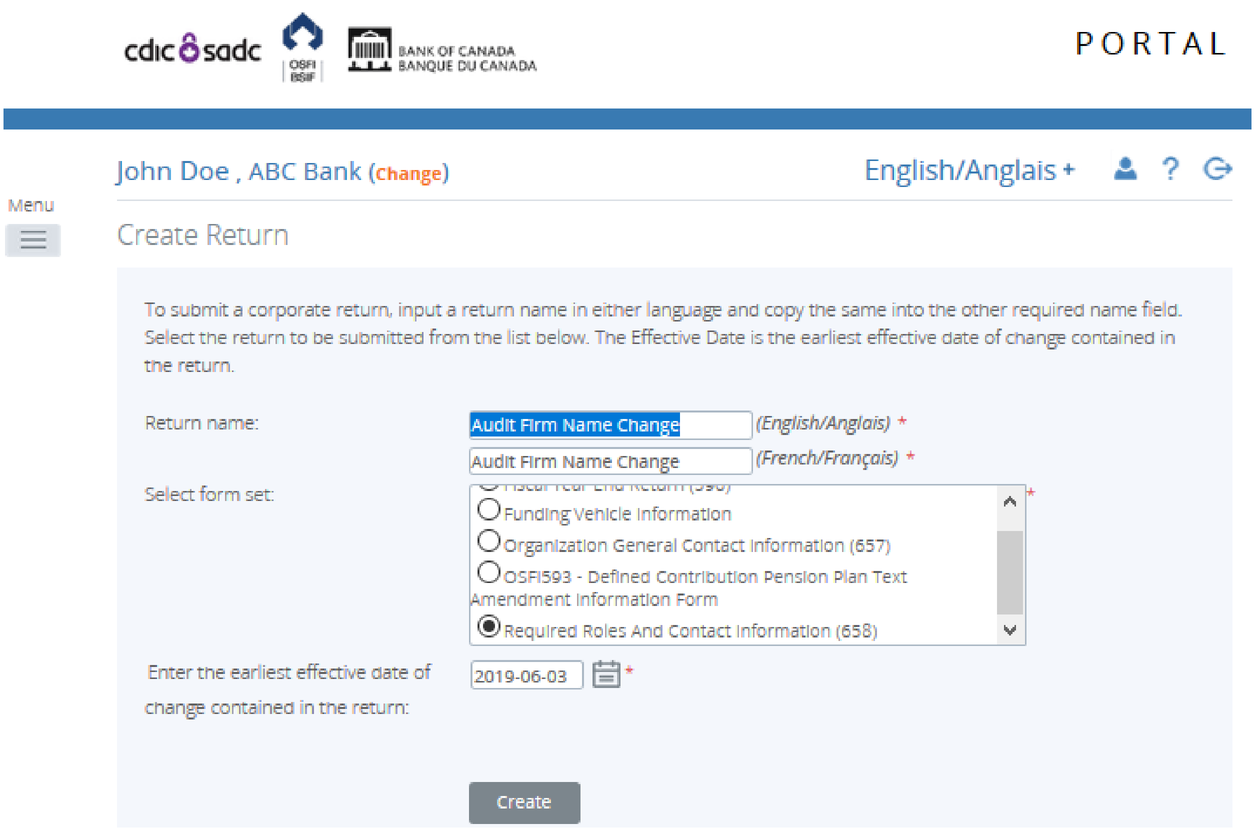


Figure 4.5-17: Create Return Page

3. Enter an English and French name for the return (see example above).

4. Select Required Roles And Contact Information.

5. Enter the Effective Date of change.

6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

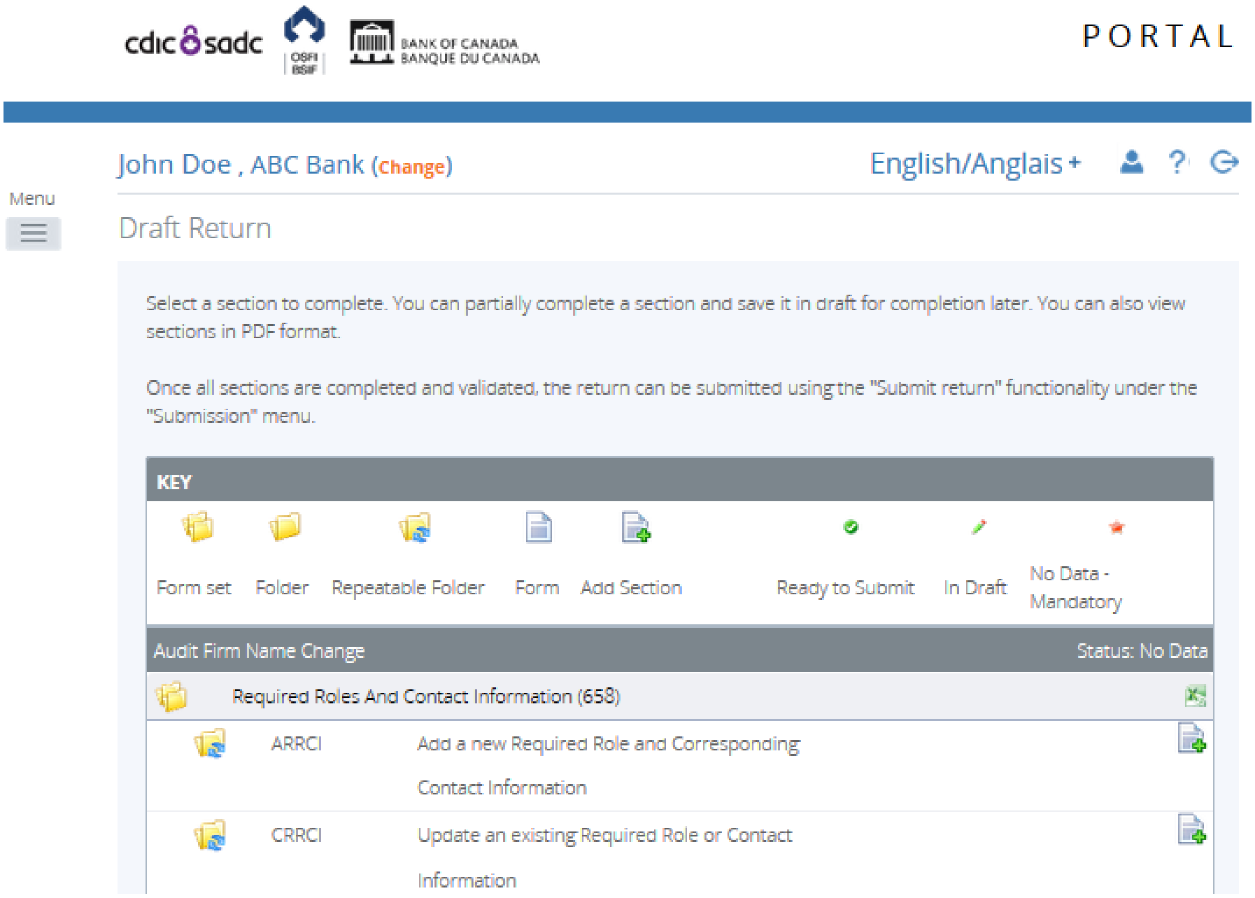


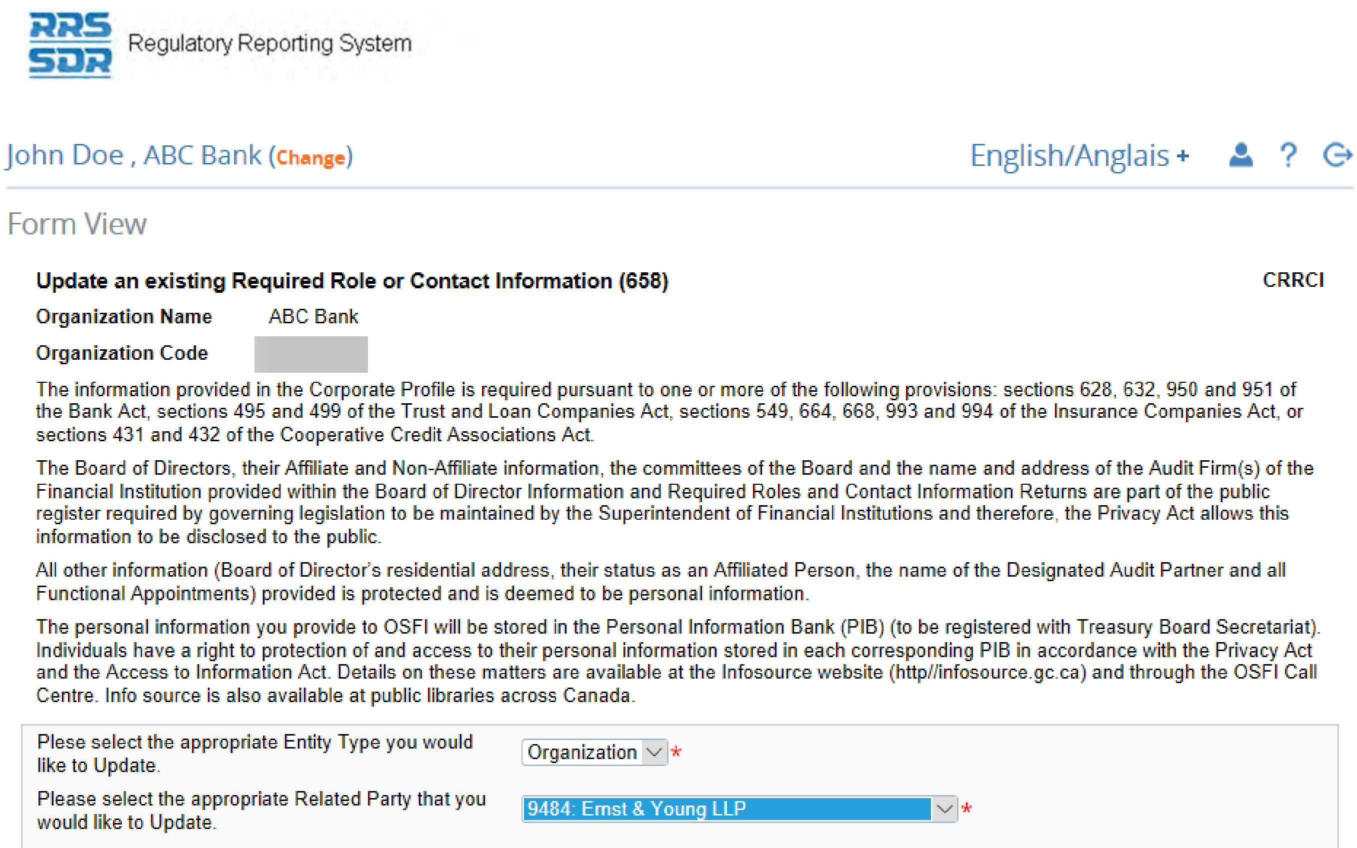
Figure 4.5-18: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Update an existing Required Role and Contact Information"

9. This will open a new worksheet within this section of the return.

10. Under Entity Type, choose "Organization" (see example below).

11. Under Related Party, choose the appropriate organization name you wish to update.



Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

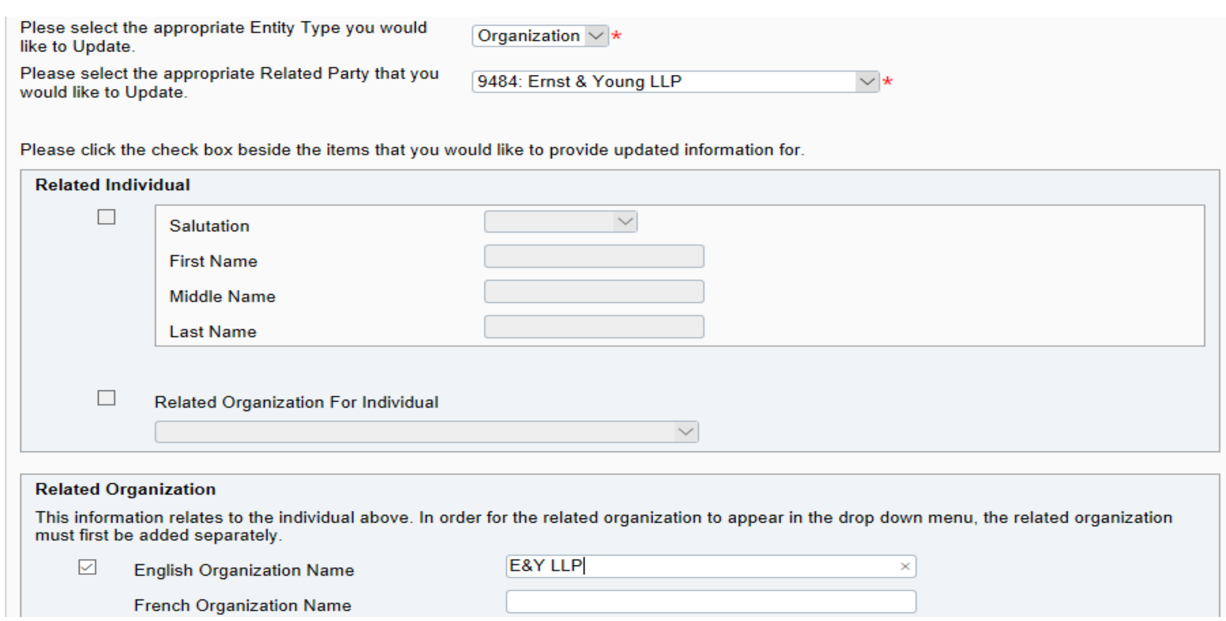
Plese select the appropriate Entity Type you would like to Update. Organization *

Please select the appropriate Related Party that you would like to Update. 9484: Ernst & Young LLP *

Figure 4.5-19: Update an existing Required Roles and Contact Information Page

12. Under Related Organization, click the check box on the left hand side. This will enable the Organization Name field.

13. Enter the updated name of the Related Organization (in the language of your choice).



Plese select the appropriate Entity Type you would like to Update. Organization *

Please select the appropriate Related Party that you would like to Update. 9484: Ernst & Young LLP *

Please click the check box beside the items that you would like to provide updated information for.

Related Individual

Salutation

First Name

Middle Name

Last Name

Related Organization For Individual

Related Organization

This information relates to the individual above. In order for the related organization to appear in the drop down menu, the related organization must first be added separately.

English Organization Name E&Y LLP

French Organization Name

Figure 4.5-20: Update an existing Required Roles and Contact Information Page

14. You can now click on the **Validate & Save** button.
15. Your return is now ready to be submitted.
16. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

4.5.5 How to Add New Roles to an Existing Individual within your Organization Profile

The following instructions relate to when you are required to add a new role to an existing individual within your organization profile.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

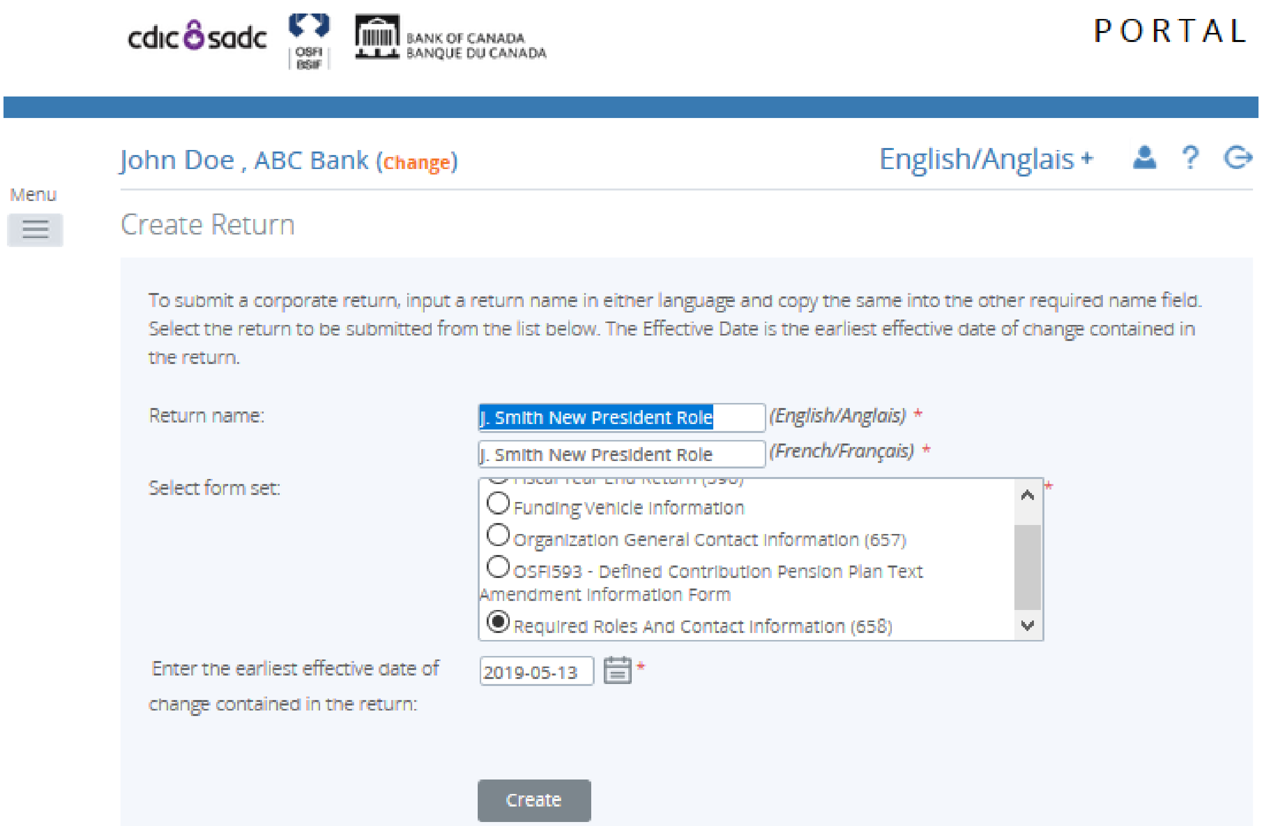


Figure 4.5-21: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

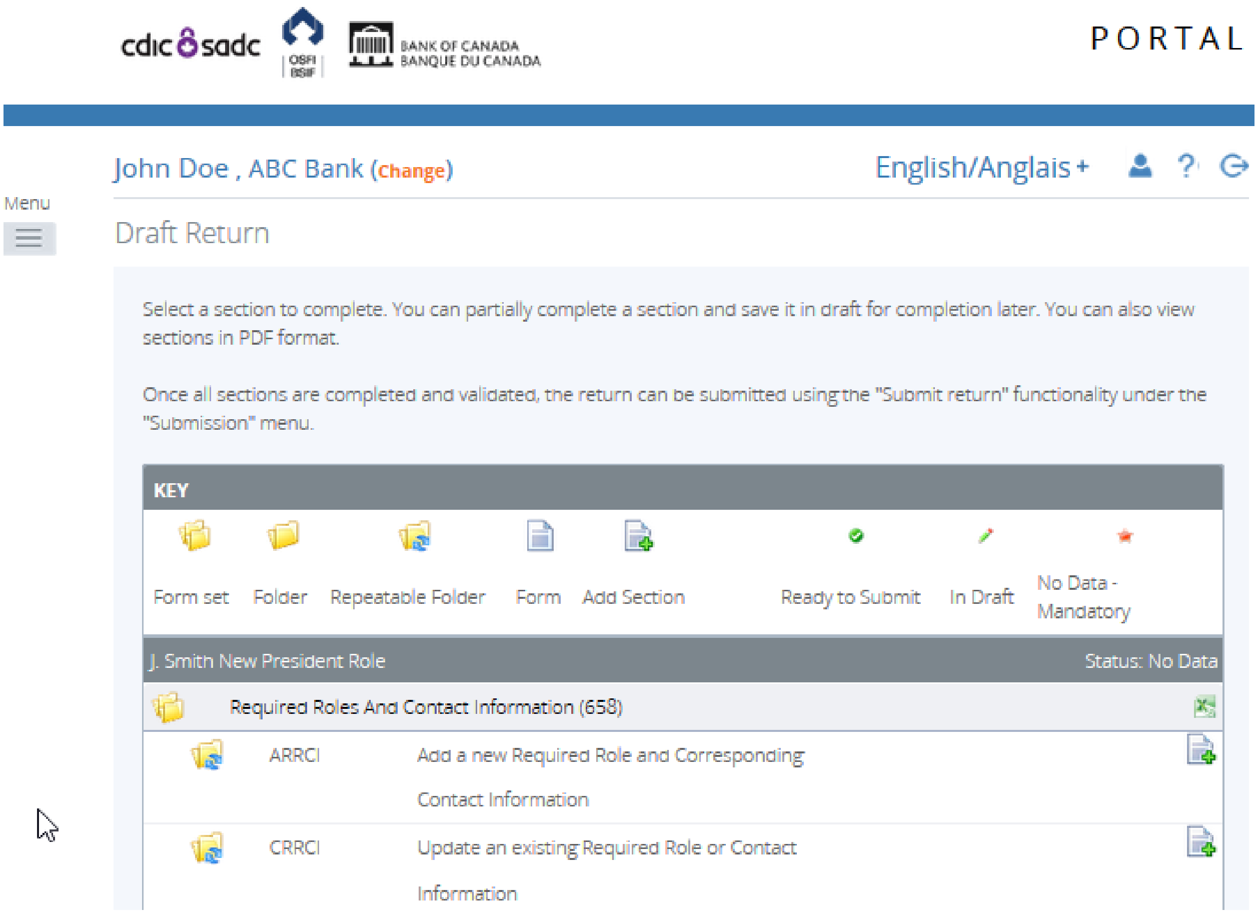


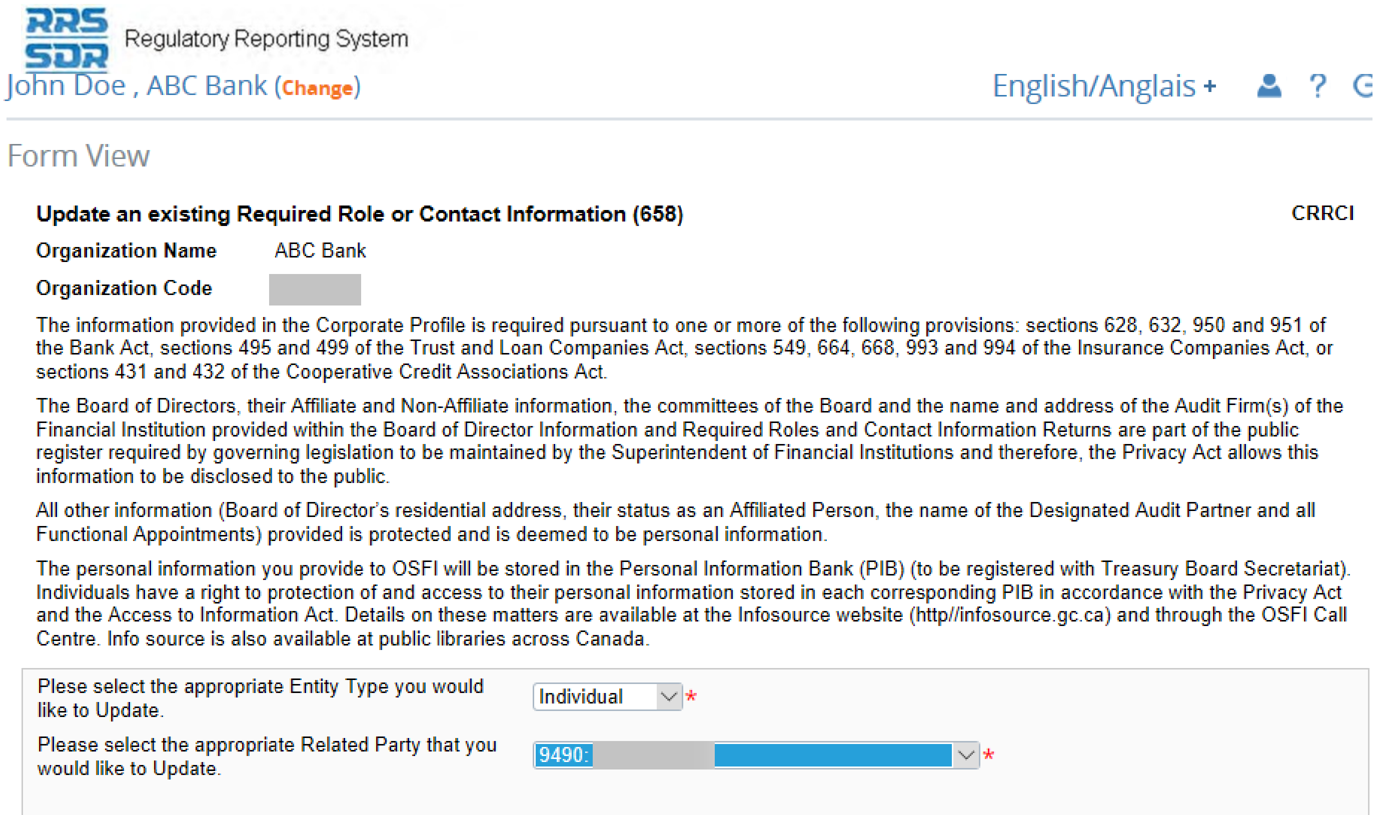
Figure 4.5-22: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role and Contact Information”

9. This will open a new worksheet within this section of the return.

10. Under Entity Type, choose “Individual” (see example below).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Update an existing Required Role or Contact Information (658) CRRCI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Plese select the appropriate Entity Type you would like to Update. Individual *

Please select the appropriate Related Party that you would like to Update. 9490: *

Figure 4.5-23: Update an existing Required Roles or Contact Information Page

12. Under Roles, click on "Add" button to expand box (as shown below).


Roles

Select "Add" to add multiple roles for the related individual identified above. Select "Update" to update the existing related individual or related organization roles for the individual identified above. By selecting "Update" it will replace all information for the record you have selected.

Add

Figure 4.5-24: Update an existing Required Roles or Contact Information Page

13. Under Please indicate whether you wish to add a new role or update an existing role, click on "Add".
14. Under Related Individual Role, choose the role of the individual you are looking to add to your profile, from the drop down menu.
15. Enter the appropriate role title if title is different than the identified role. This field is not a mandatory requirement.
16. Enter the Role Effective Date (see example below).

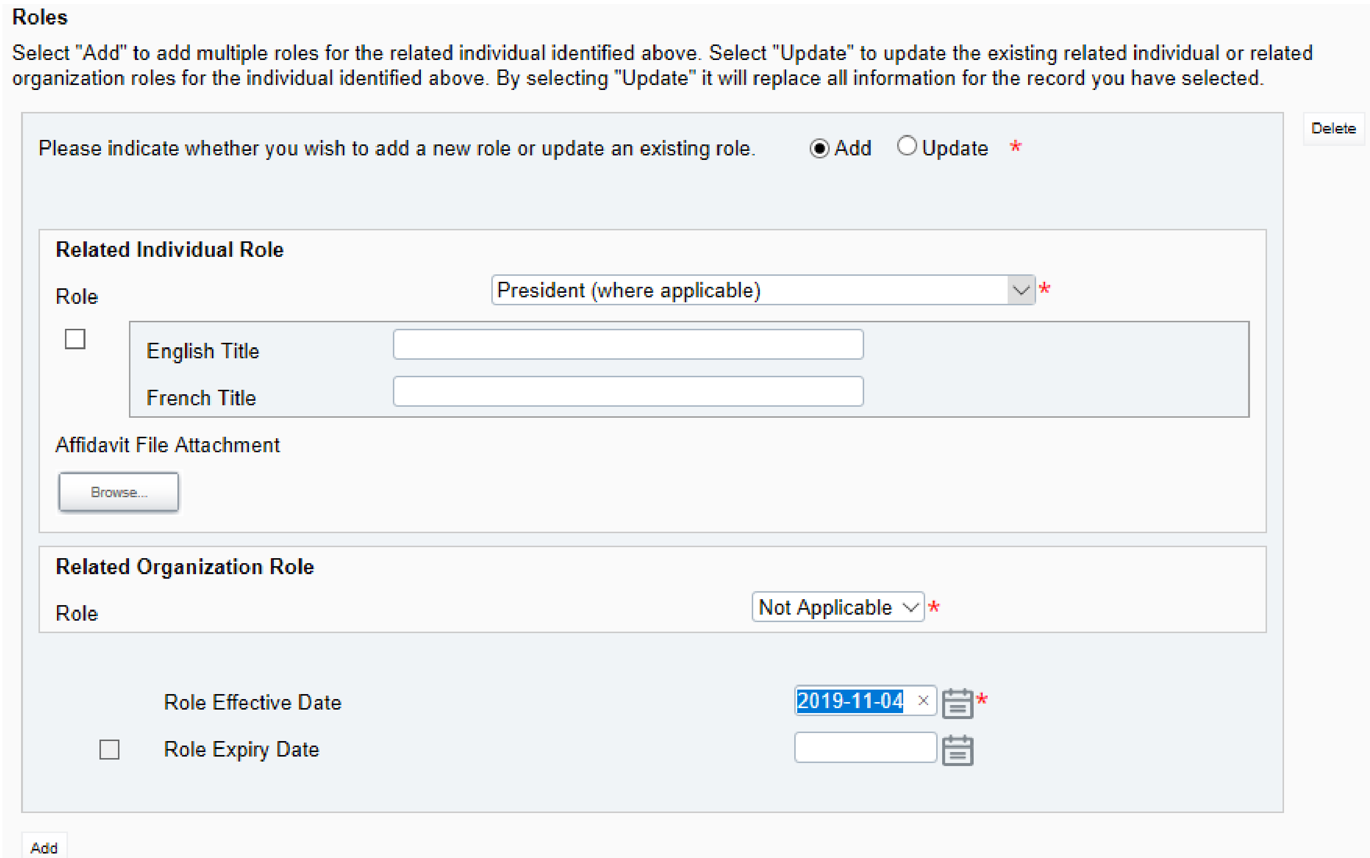


Figure 4.5-25: Update an existing Required Roles or Contact Information Page

17. You can now click on the **Validate & Save** button.
18. Your return is now ready to be submitted.
19. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return.]

	Warning
	• If, for example, you are adding the role of Director or Board Chairman to an individual who only has a functional appointment in the profile, you will also need to include their Residence Address within this return submission.

4.5.6 How to Delete a Specific Role from an Existing Individual within your Organization Profile

To delete a specific role from an existing related individual from your organization profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to delete a specific role without deleting the related individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

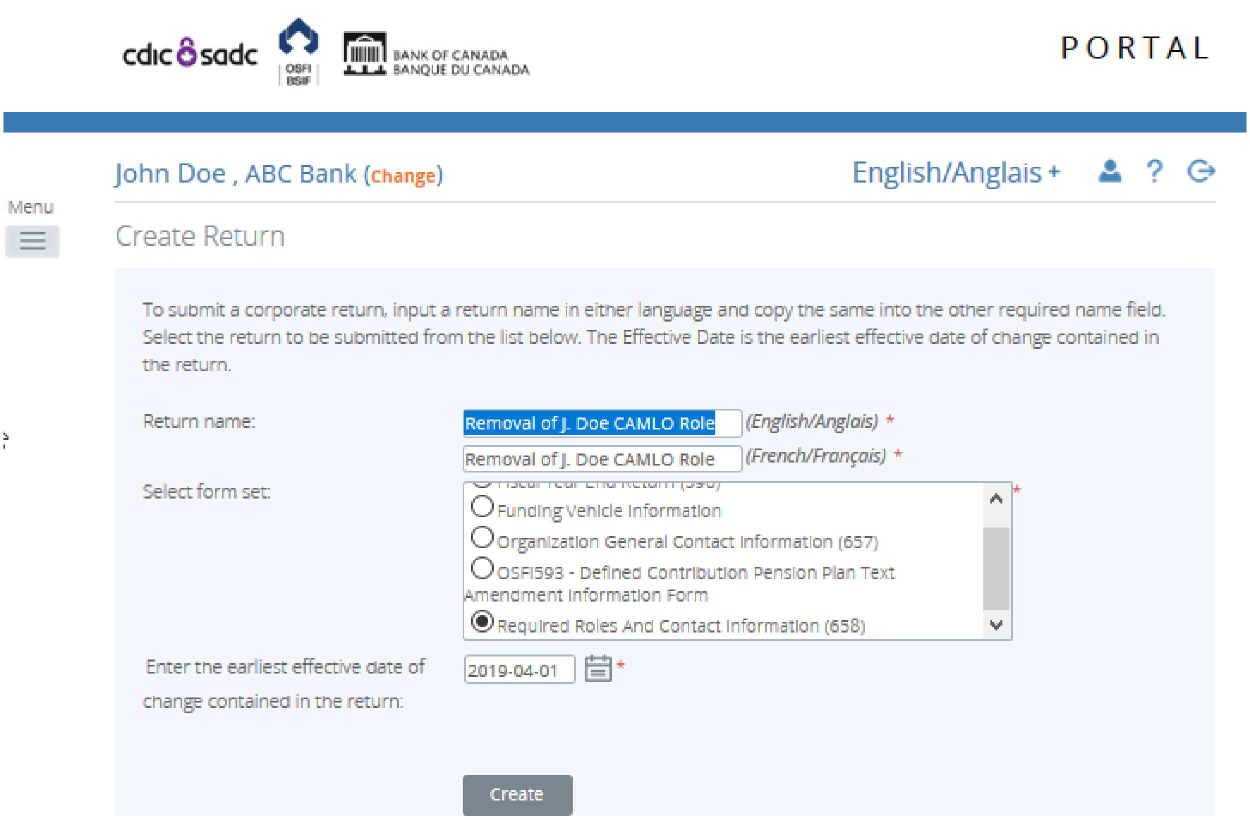


Figure 4.5-26: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

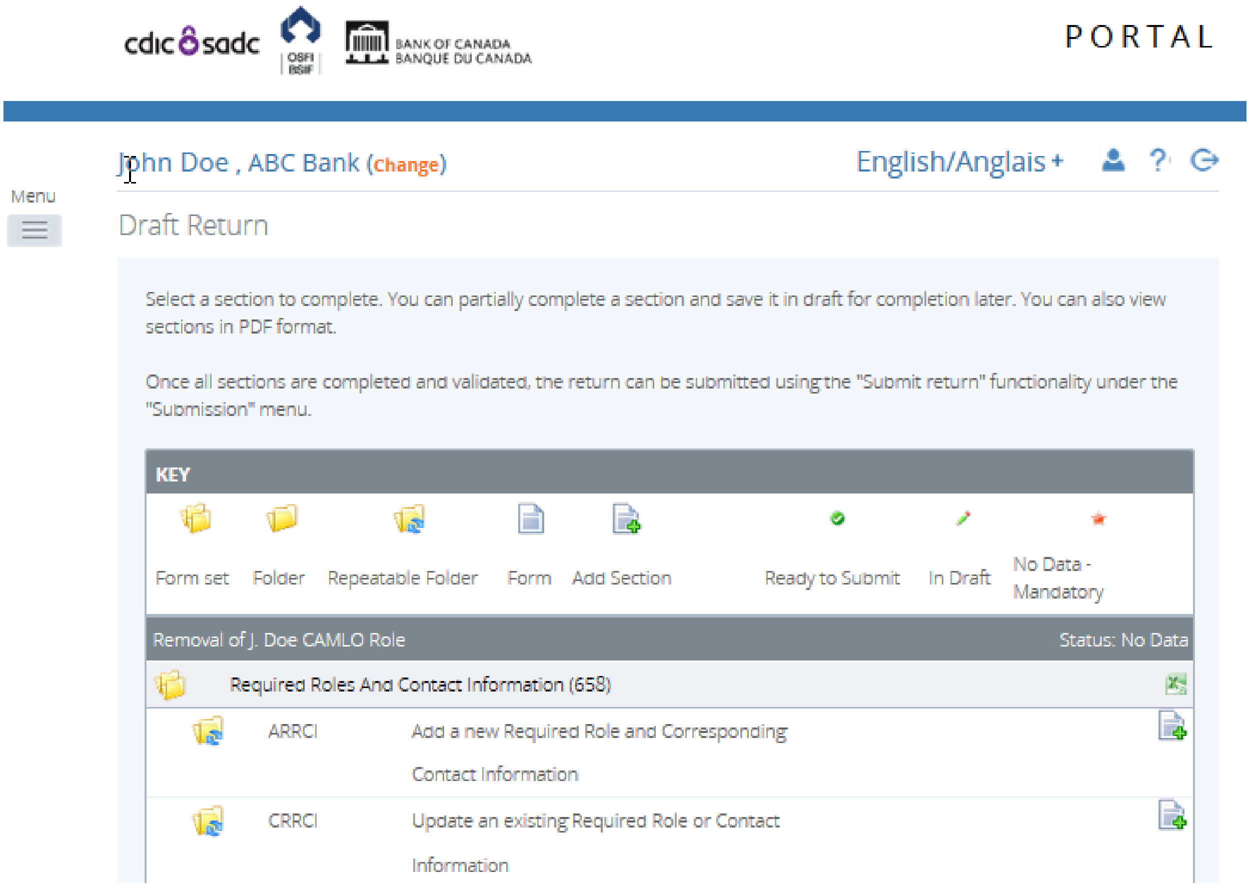


Figure 4.5-27: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Update an existing Required Role and Contact Information"

9. This will open a new worksheet within this section of the return.

10. Under Entity Type, choose "Individual" (see example below).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to update their role title from the drop down menu.

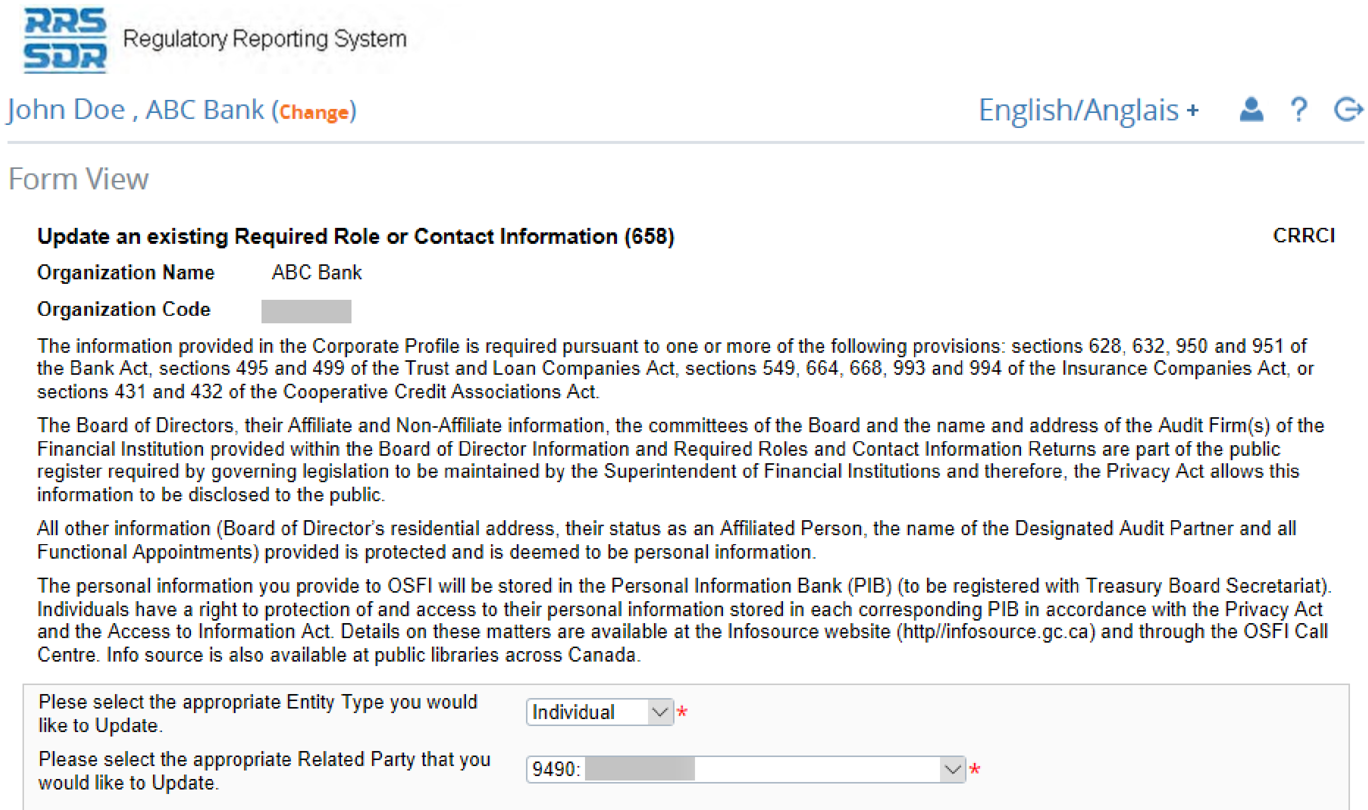


Figure 4.5-28: Update an existing Required Roles or Contact Information Page

12. Under Roles, click on "Add" button to expand box (as shown below).

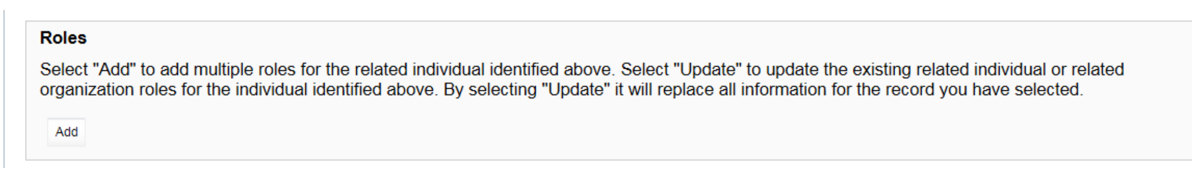
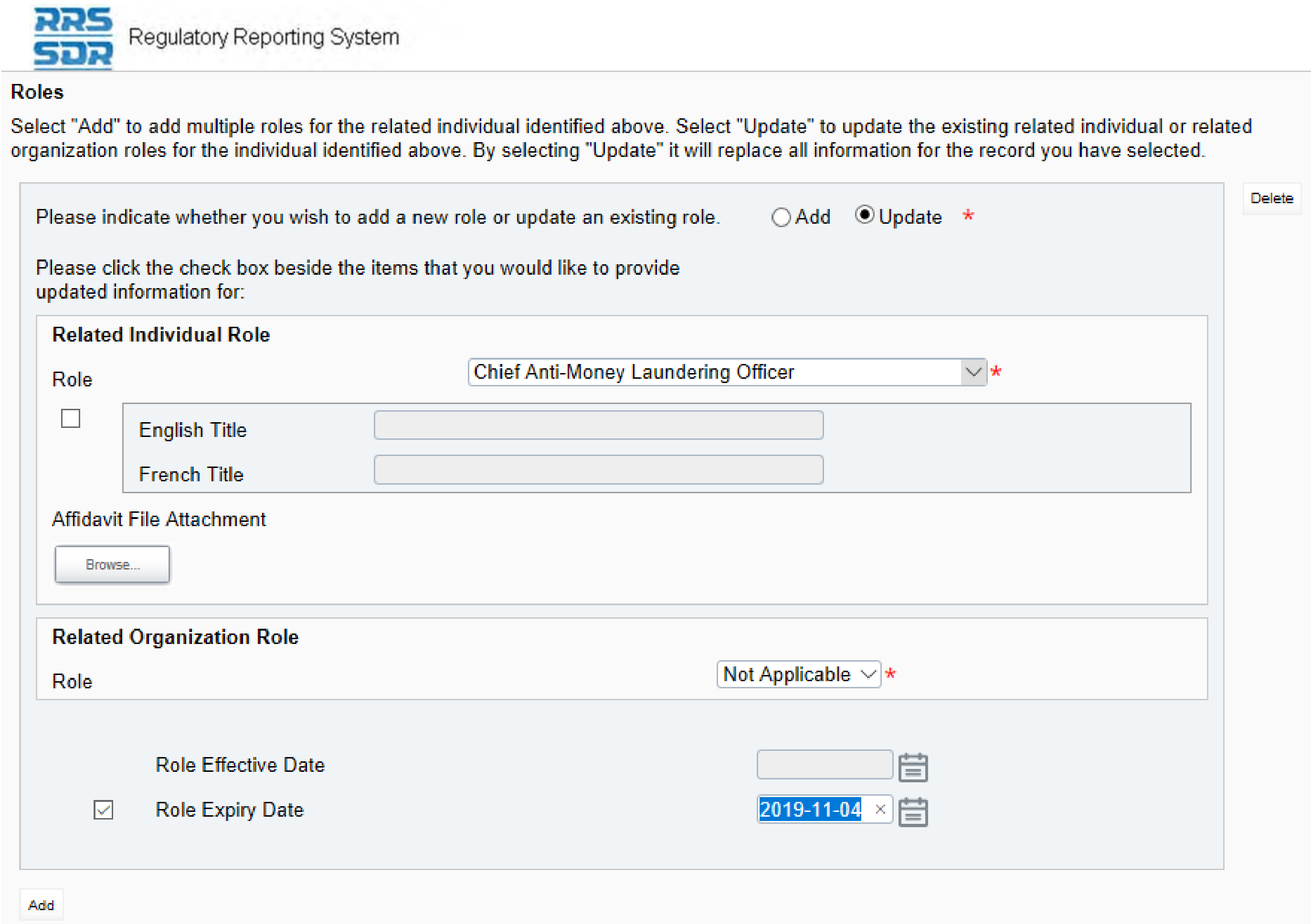


Figure 4.5-29: Update an existing Required Roles or Contact Information Page

13. Under Please indicate whether you wish to add a new role or update an existing role, click on "Update".
14. Under Related Individual Role, choose the appropriate role for the individual (as shown below)
15. Under Related Organization Role, this field will remain as "Not Applicable".
16. Check box to the left of Role Expiry Date, this will enable to date field on the right hand side.
17. Select the appropriate Role Expiry Date.


Regulatory Reporting System

Roles

Select "Add" to add multiple roles for the related individual identified above. Select "Update" to update the existing related individual or related organization roles for the individual identified above. By selecting "Update" it will replace all information for the record you have selected.

Delete

Please indicate whether you wish to add a new role or update an existing role. ○ Add ◉ Update *

Please click the check box beside the items that you would like to provide updated information for:

Related Individual Role

Role: Chief Anti-Money Laundering Officer *

☐ English Title

French Title

Affidavit File Attachment

Browse...

Related Organization Role

Role: Not Applicable *

Role Effective Date

☑ Role Expiry Date: 2019-11-04

Add

Figure 4.5-30: Update an existing Required Roles or Contact Information Page

18. You can now click on the **Validate & Save** button.

19. Your return is now ready to be submitted.

20. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return.]()

	Warning
	• If, for example, you are removing the role of Director or Board Chairman for an individual, you will also need to end date any board related details for this individual by creating and submitting the Board of Director Information Return. Follow instructions under [Section 4.8 How to make changes related to a Canadian Organization's Board of Directors Information]().

4.6 How to make changes related to the External Auditor/Actuary and Audit/Actuarial Firm Roles

When making a change to your External Auditor or External Actuary roles within your Organization Profile, you must use the Required Roles and Contact Information Return. This change requires a 2-step process within the same return.

4.6.1 How to make changes when only the auditor/actuary role changes

The following instructions are specific to when only the auditor/actuary "partner" role changes and where the audit/actuary firm remains unchanged.

In this instance, you are first required to add a role expiry date to the existing auditor/actuary (individual) under the Update an existing required role and contact information section. Please follow steps under Section 4.3 How to delete an individual from your organization profile.

Secondly, you will then be required to add the new individual (auditor/actuary) under the Add a new required role and contact information section. Please follow steps under Section 4.2.1 How to add an individual to your organization profile.

For these two roles only, you will also be required to relate the individual to the related organization under "Related Organization For Individual" (see example below).

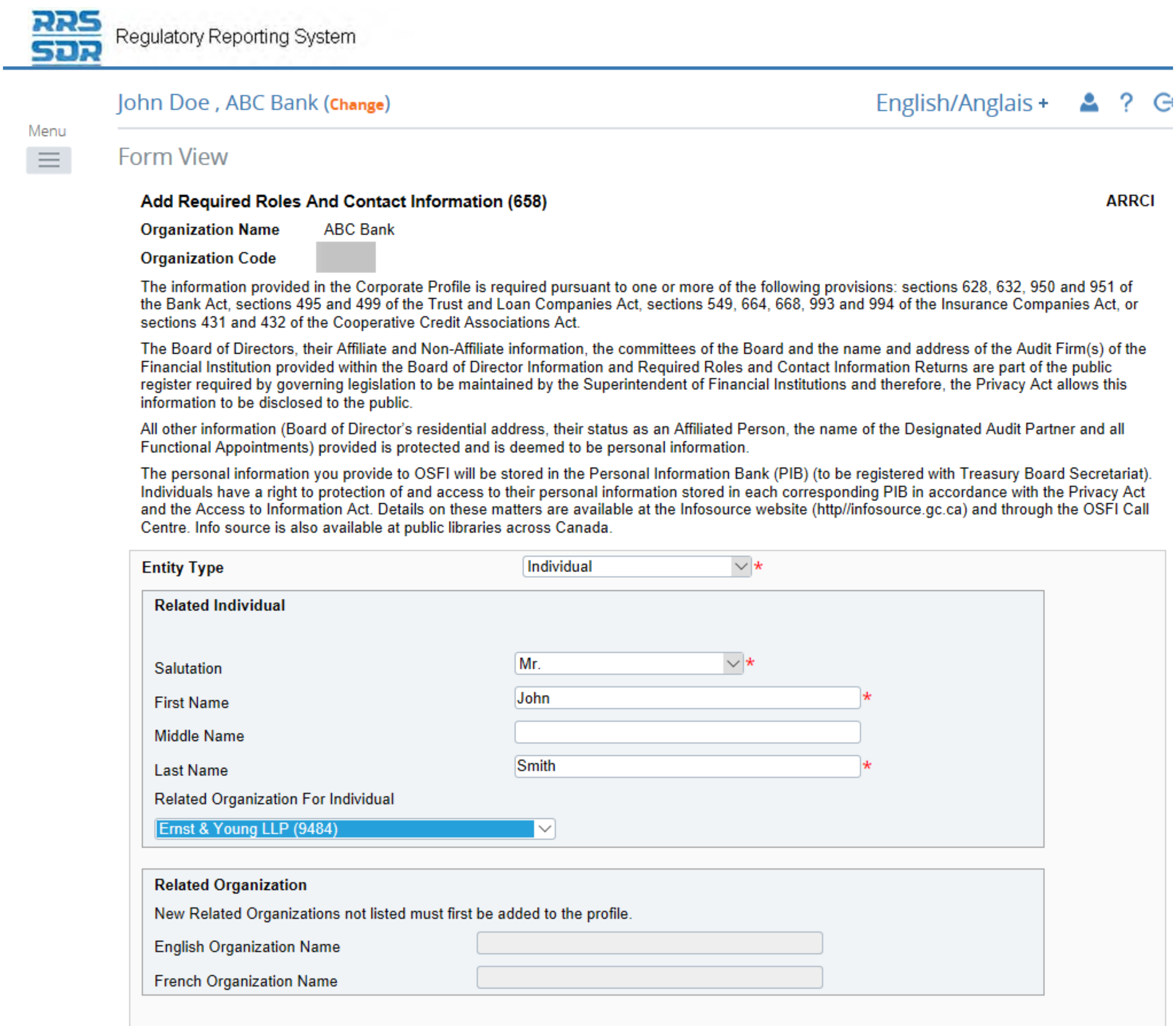


Figure 4.6-1: Add Required Roles and Contact Information Page

Note: For the role of Internal Actuary, the requirement to relate the individual to a related organization does not apply.

4.6.2 How to make changes when both the Audit/Actuarial Firm and External Auditor/Actuary roles changes

The following instructions are specific to when both the external auditor/actuary "partner" role and the Audit/Actuarial Firm changes at the same time. All changes identified below should be made within the same return. To accomplish this, you must create and submit the Required Roles and Contact Information Return.

1. Under the Update an existing required role and contact information section, click on "Add Instance" then add a role expiry date to the existing auditor/actuary (Individual).

2. Under the Update an existing required role and contact information section, click on

"Add Instance" again. then add a role expiry date to the existing Audit/Actuarial Firm (Related Organization).
For more detailed information on how to accomplish this, follow steps under [Section 4.3 How to delete an individual from your organization profile](#).

3. Under the Add a new required role and corresponding contact information section, click on "Add Instance" then add the new related organization (Audit/Actuarial Firm).

4. Under the Add a new required role and corresponding contact information section, click on "Add Instance" again then add the new individual (External Auditor/Actuary).
   For more detailed information on how to accomplish this,follow steps under [Section 4.2.1 How to add an individual to your organization profile](#).

	Note
	For the External Auditor/Actuary role, you will also be required to relate the individual to the related organization under "Related Organization For Individual" (see example under Figure 4.6-1: Add Required Roles and Contact Information Page).

4.7 How to Make a Change to Both a Pension Plan's Funding Vehicle and Fund Custodian

In this instance, two corporate returns will need to be created, the first being the Required Role and Contact Information Return and the second being the Funding Vehicle Information Return. You must first complete and submit the Required Role and Contact Information Return to add the related individual and related organization of the fund custodian.

Once the first return has been successfully submitted, you must then complete and submit the Funding Vehicle Information Return. This return adds the funding vehicle information as well as relates it to the appropriate fund custodian previously submitted.

	Reminder
	When replacing existing information within the Organization Profile with new information, you must also update the existing information by adding a role expiry date to each affected individuals and/or related organizations.

To create a corporate return using the two-return process:

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

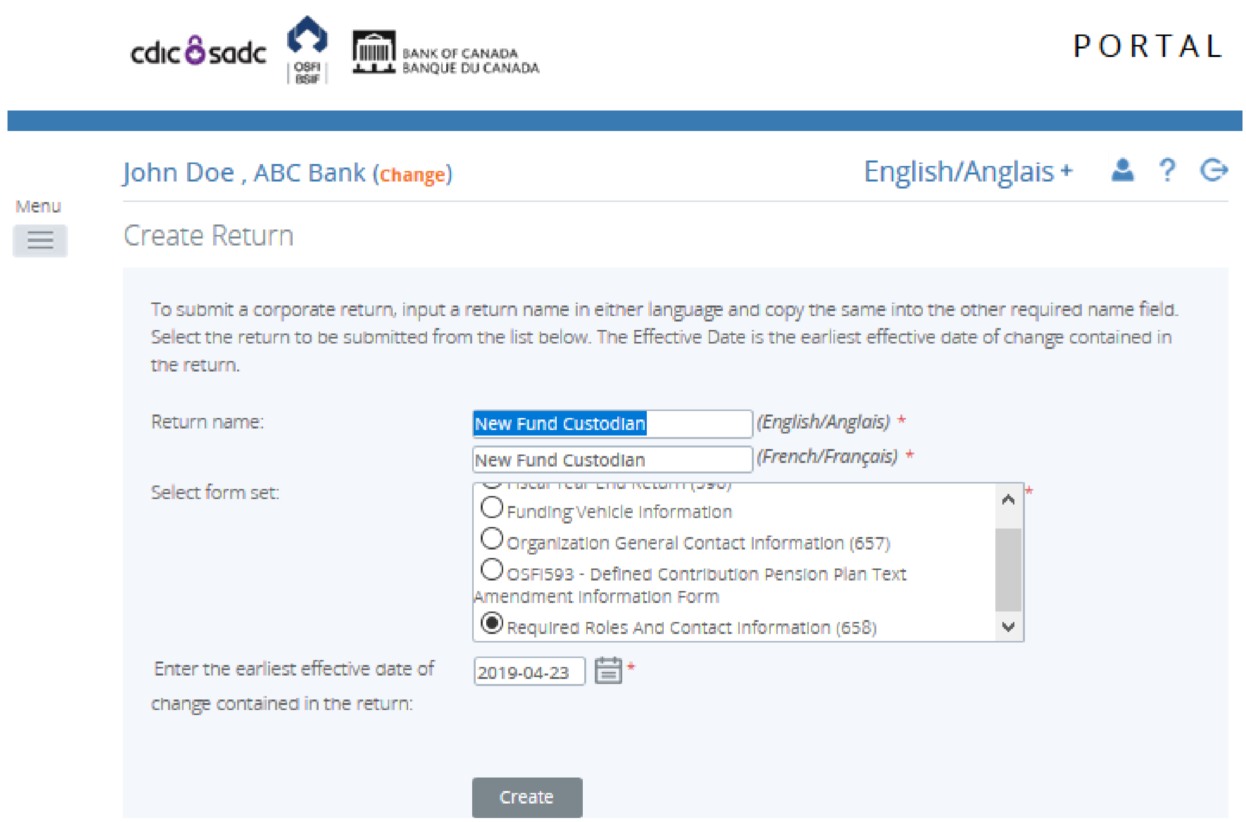


Figure 4.7-1 Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click on **Draft Returns** to view the return in your draft folder.

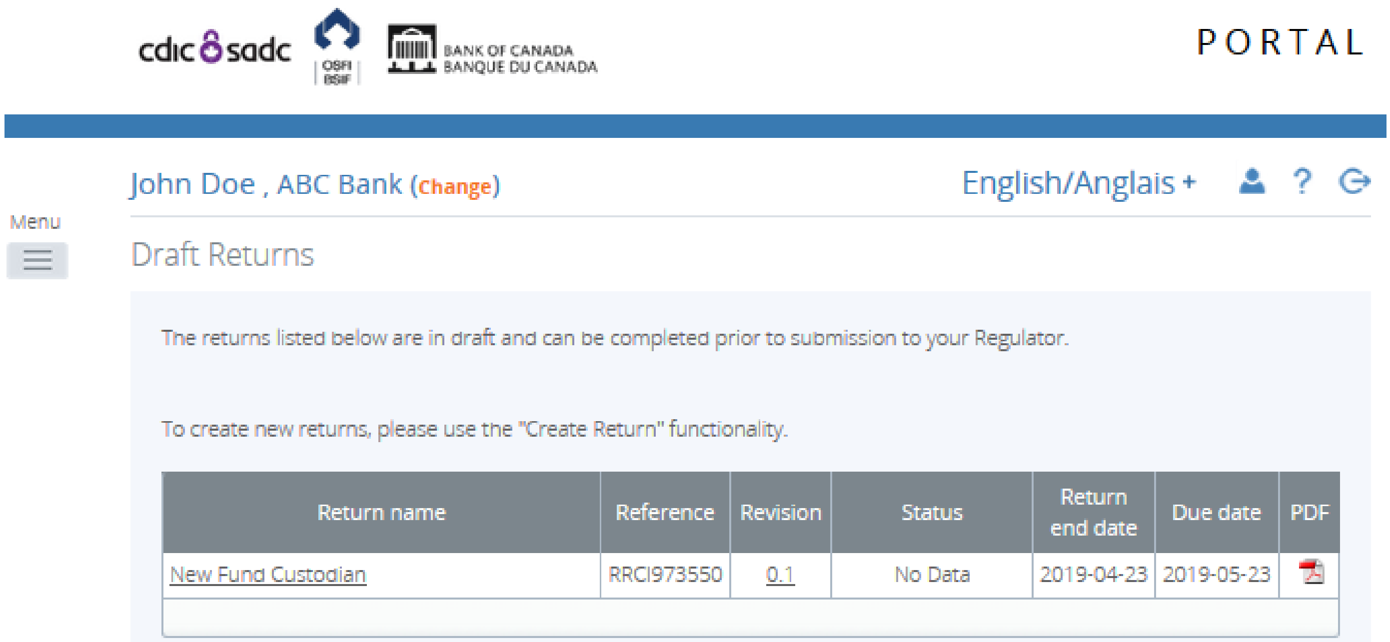


Figure 4.7-2 Draft Returns Page

8. Click on **New Fund Custodian** to open the return.

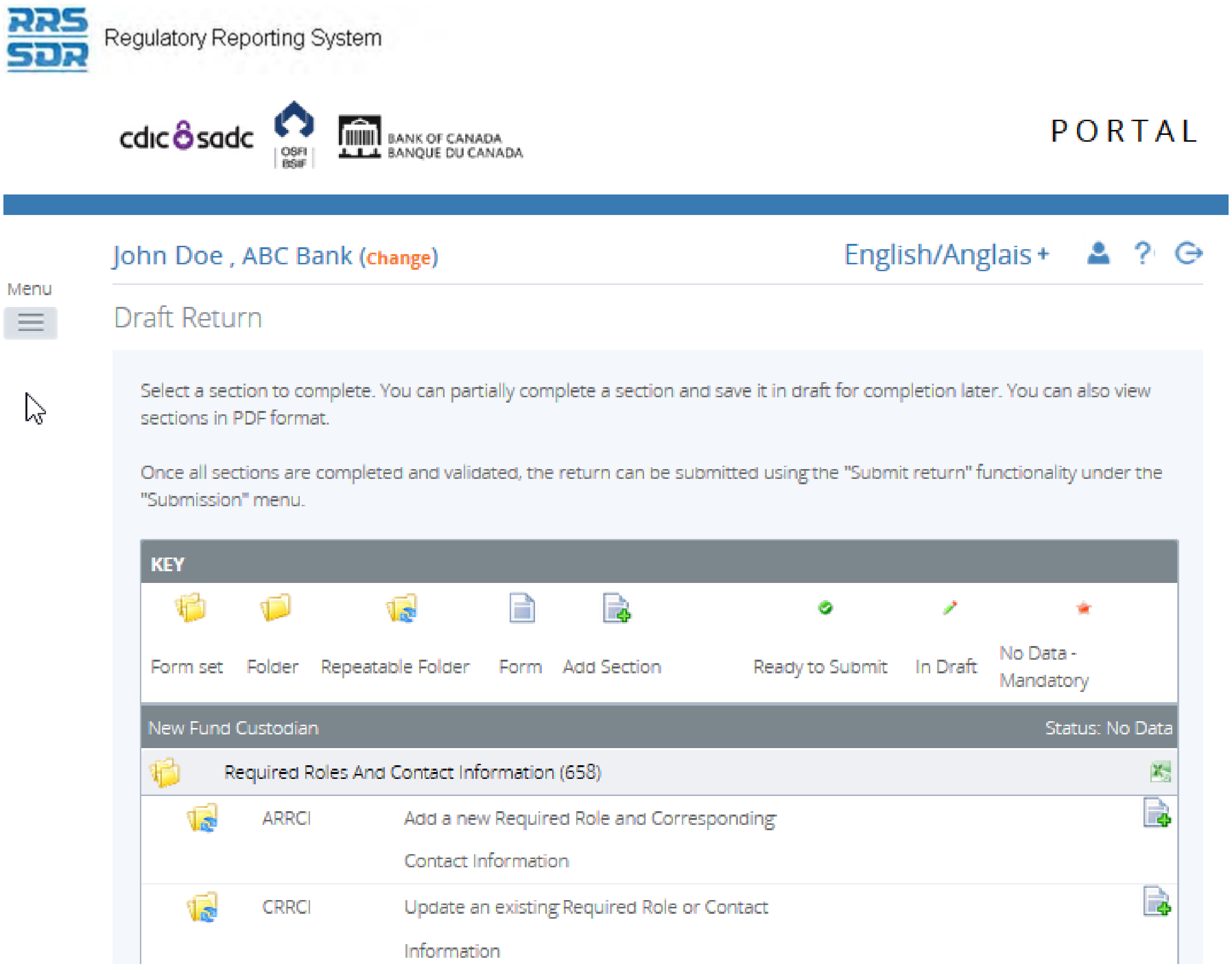


Figure 4.7-3 Draft Return Page

In order to add the related individual as well as the related organization information for the Fund Custodian, follow the steps outlined in Section 4.2 How to Add an Individual/Related Organization to your Organization Profile to add both roles within the same return.

9. Once the appropriate information has been added, click the **Validate & Save** button.

Follow the steps outlined in Section 3.1 General Instructions on Completing and Submitting a Corporate Return to submit this return.

To update Funding Vehicle Information follow the steps below:

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

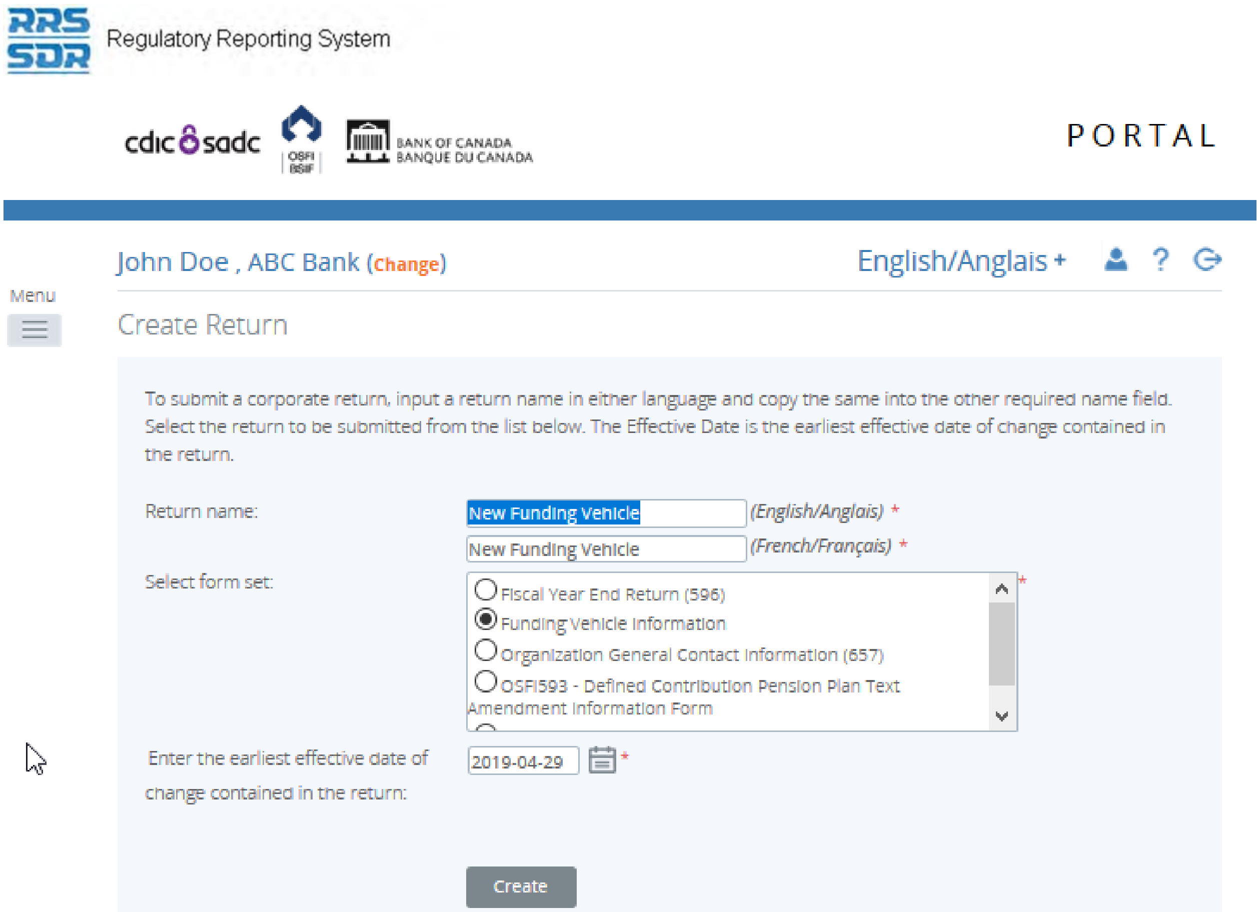


Figure 4.7-4 Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Funding Vehicle Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click on **Draft Returns** to view the return in your draft folder.

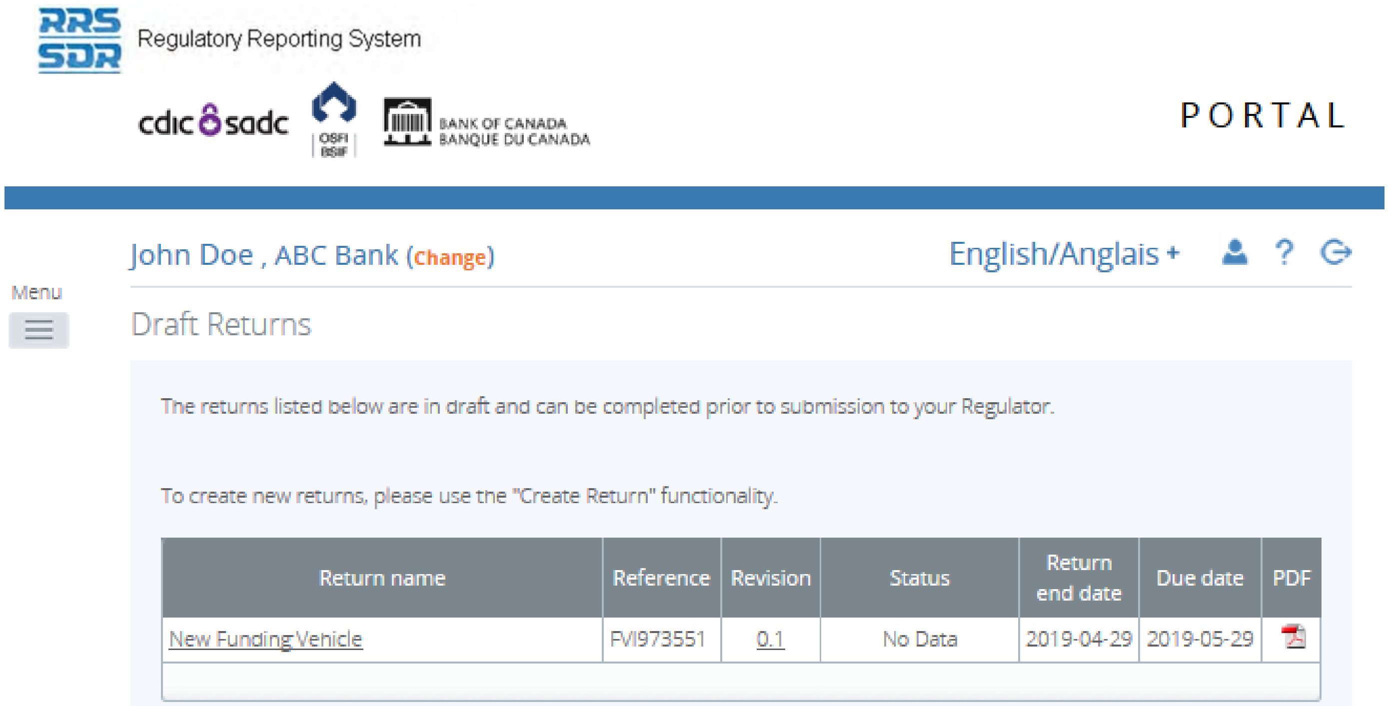


Figure 4.7-5 Draft Returns Page

8. Click on **New Funding Vehicle** to open the return.

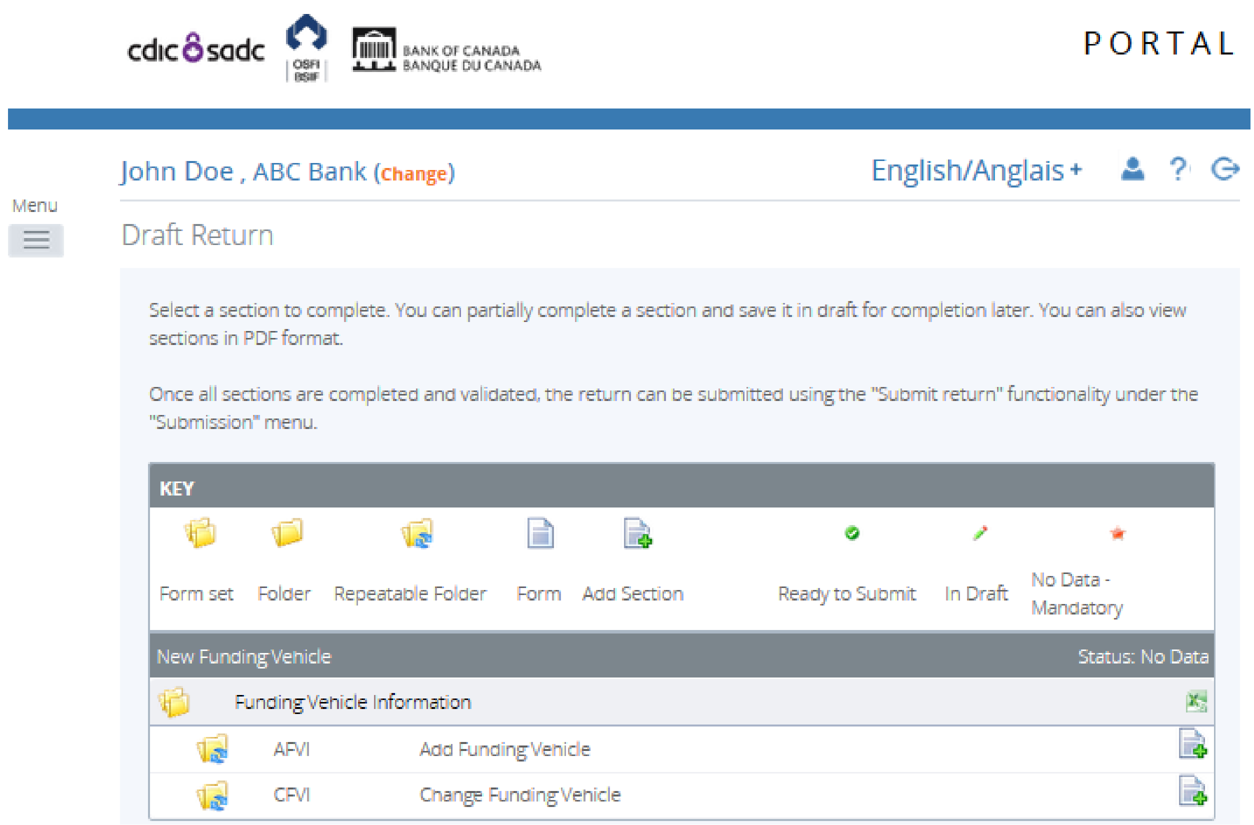


Figure 4.7-6 Draft Return Page

9. Click the page with a green plus sign symbol associated with the section to be added or changed.

10. Enter the appropriate funding vehicle information into the return.

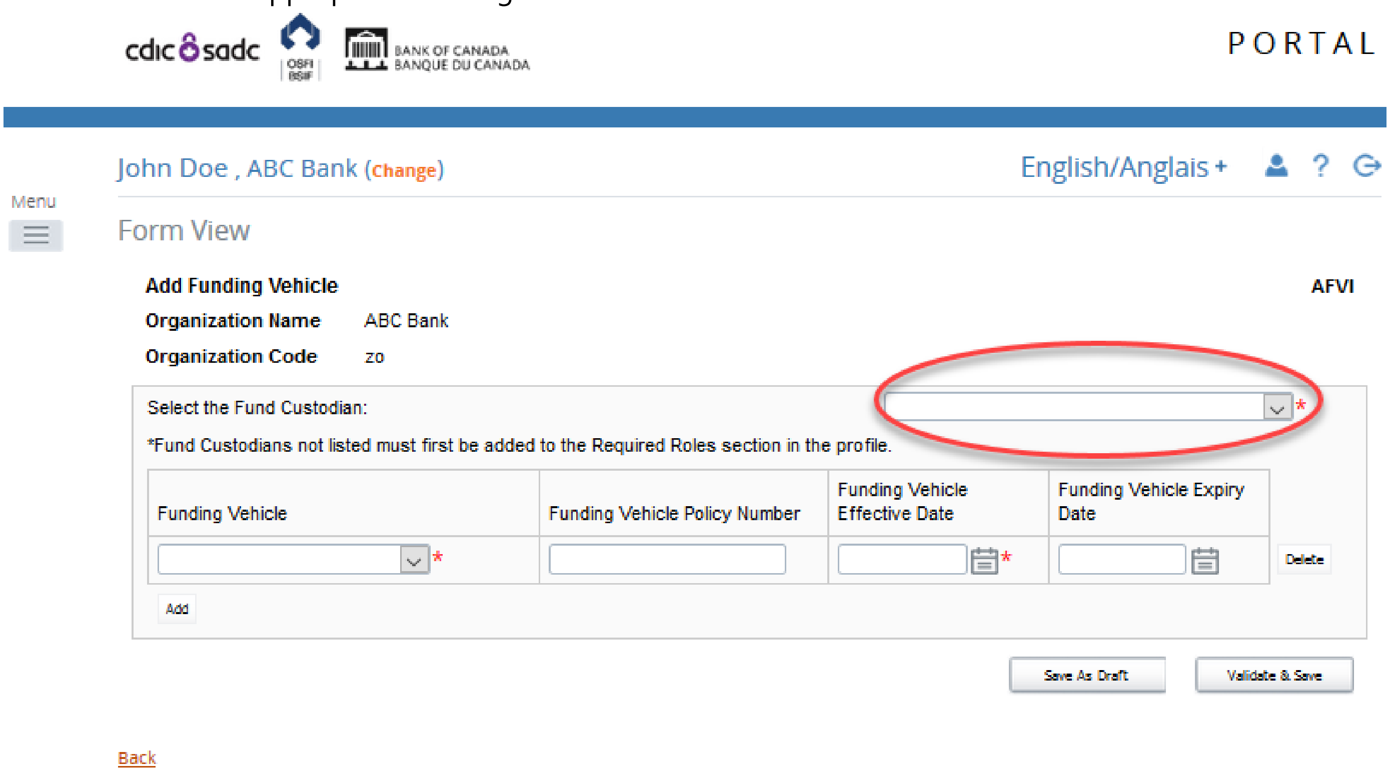


Figure 4.7-7 Draft Return Page

11. Select the Fund Custodian from the drop down menu. (This information will be based on the information submitted on the previously submitted return).

12. Click the **Validate & Save** button.

13. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return].

4.8 How to make changes related to a Canadian Organization's Board of Directors Information

When you are required to remove and/or add directors from your organization profile, this will usually require a two-return process.

You must first complete and submit the Required Role and Contact Information (RRCI) Return to add the full name including salutation, their residential address, the role of director or chairman as well as the date the director's term of office first began. The RRCI return would also be used to add a role expiry date of any departing director. Once this return has been successfully submitted, you must then complete and submit the Board of Director Information (BDI) Return. This return adds the specific director information for the new director being added as well as remove director information for existing or departing directors/board chairman.

Within the BDI return, please list the country(ies) of citizenship, the Board Committee(s) on which the director serves, whether the director is an employee of this Financial Institution or any Subsidiary of this Financial Institution, the director's affiliation type as well as their Affiliate and Non-Affiliate information.

	Note
	When it comes to the Board Chairman and Director roles, an individual can only hold 1 of these roles at any given time. It is understood that if an individual is given the role of Board Chairman, this individual is also considered a Director.

4.8.1 How to Add and Remove a Director/Board Chairman from your Organization Profile

The following instructions are specific to when you are required to add a new director/board chairman and remove an existing director/board chairman from your organization profile.

This type of change requires a two-step process. All changes identified below should be made within the same return. To accomplish this, you must first create and submit the Required Roles and Contact Information Return

1. Under the Update an existing required role and contact information section, click on "Add Instance" then add a role expiry date to the existing director/board chairman (individual).
   For more detailed information on how to accomplish this,follow steps under Section 4.3 How to delete an individual from your organization profile.

2. Under the Add a new required role and corresponding contact information section, click on "Add Instance" then add the new individual (director/board chairman) role.

For more detailed information on how to accomplish this,follow steps under Section 4.2.1 How to add an individual to your organization profile.

Once the above return has been successfully completed and submitted, you must then create and submit the Board of Director Information return. All changes identified below should be made within the same return.

To create the Board of Director Information return, follow the steps below.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

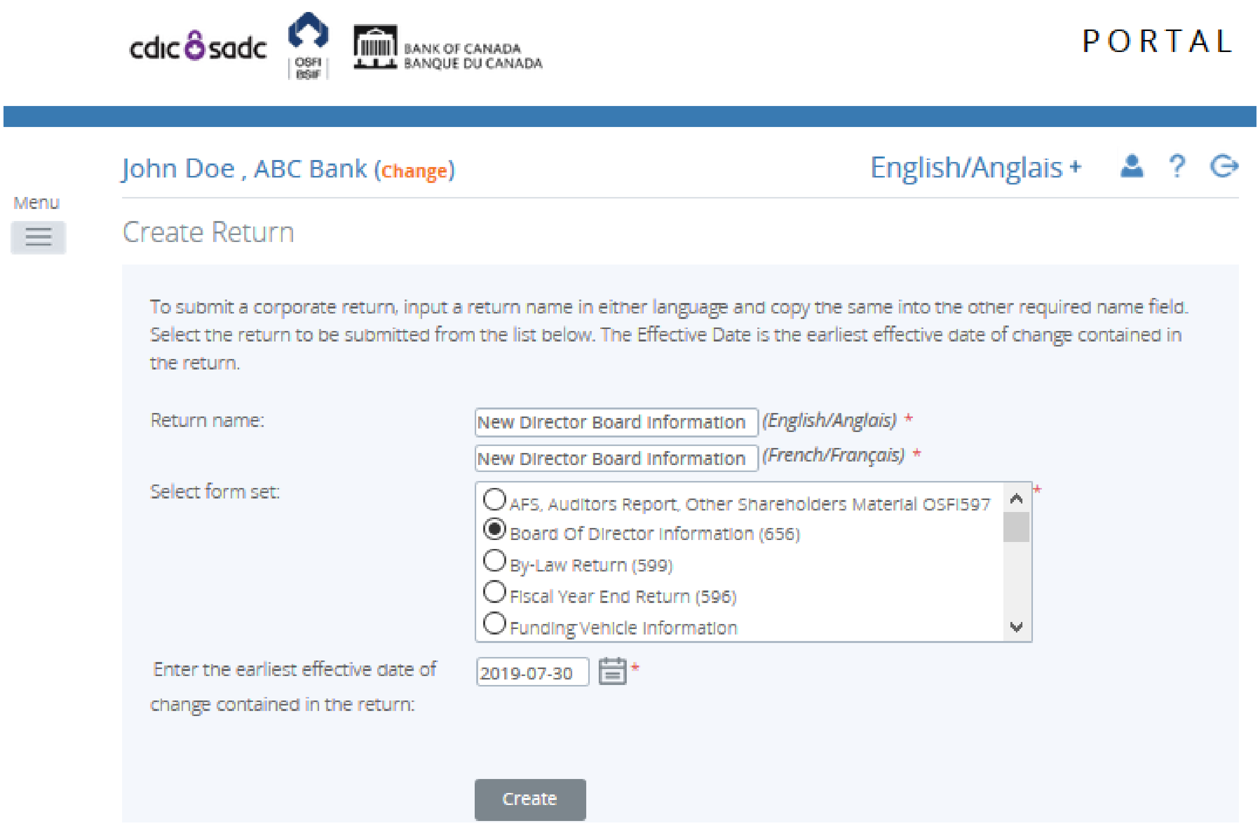


Figure 4.8-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Board of Director Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click the Draft Returns menu item to view the return in the draft folder.

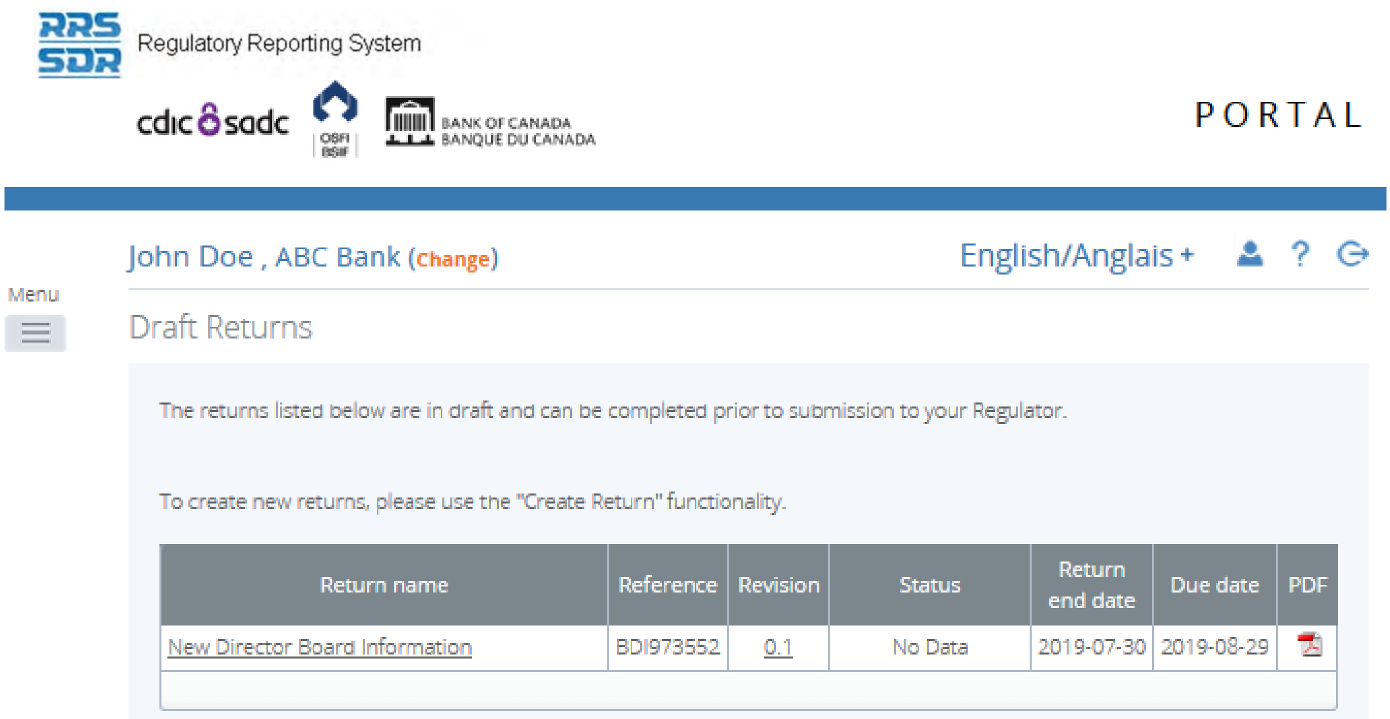


Figure 4.8-2: Draft Returns Page

8. Click on the New Director Board Information to open the return.
9. In order to add the new director information, click on "Add Instance" on the right hand side next to Add Director Information.

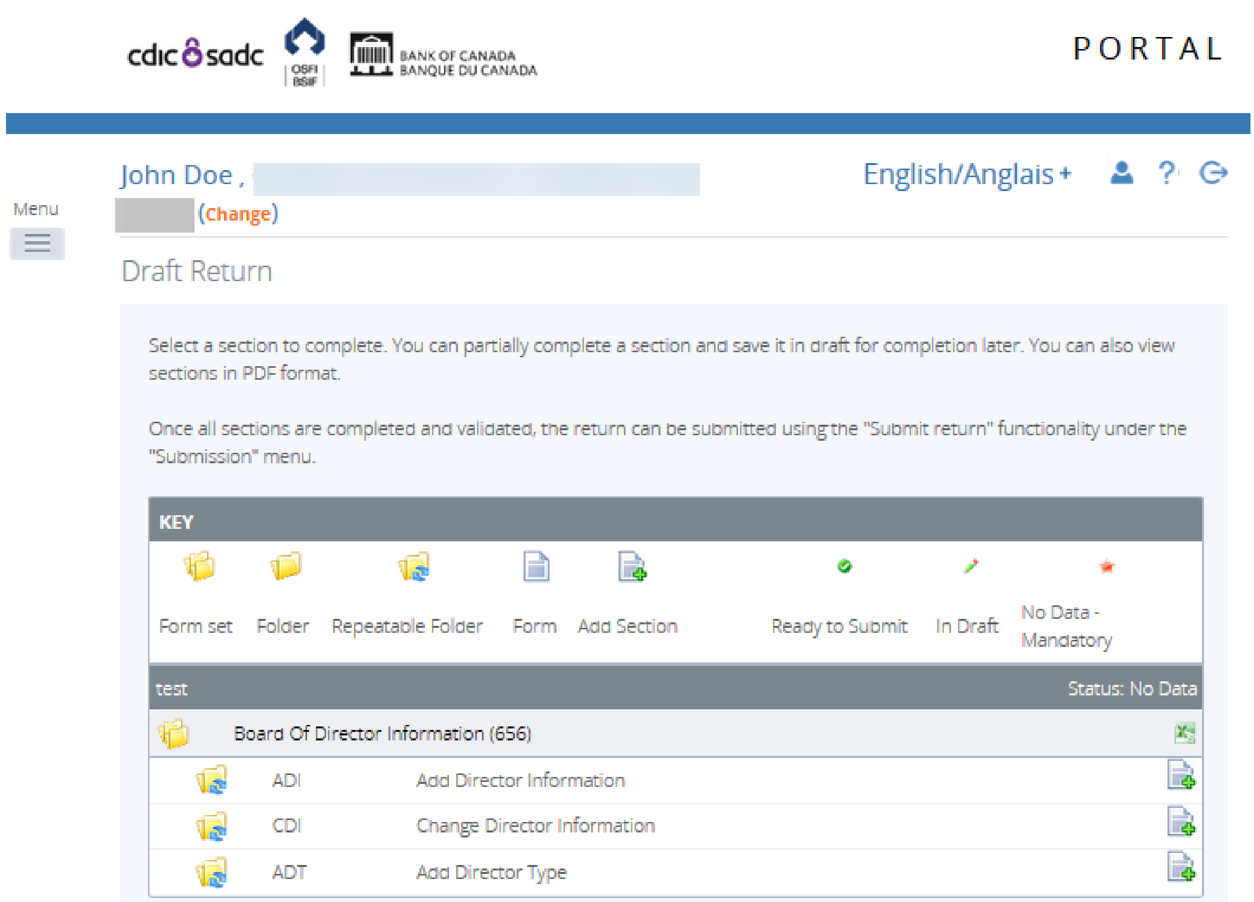


Figure 4.8-3: Draft Return Page

10. The select the name of the new Director you wish to provide information for, from the drop down menu.

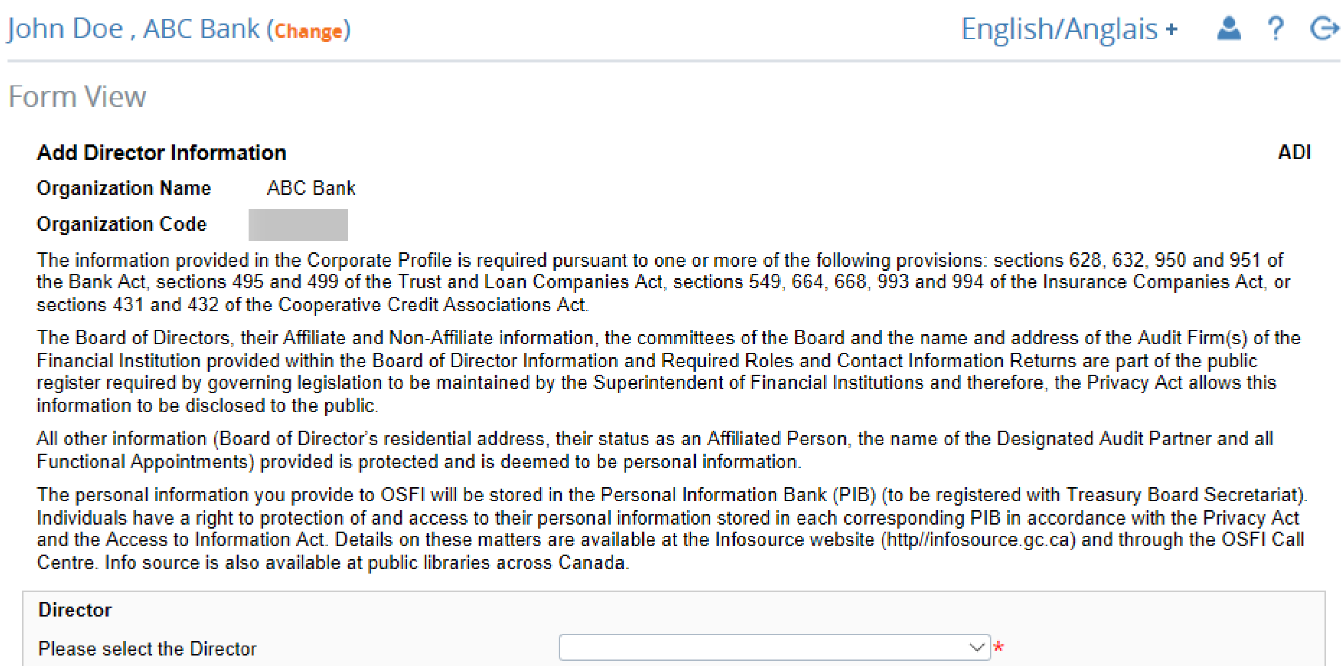


Figure 4.8-4: Add Director Information Page

11. Under Director Citizenship History, provide the director's countries of citizenship and the Director Citizenship Effective Date.

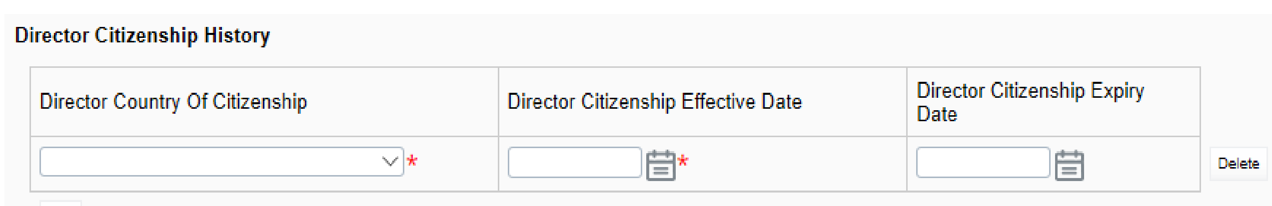


Figure 4.8-5: Add Director Information Page

	Note
	• The Director Citizenship Effective Date should be the same effective date that the individual became a director, not the **date of birth.** • The Director Citizenship Expiry Date should always remain blank in this instance.

12. Under Board Committee Membership History, provide the names of each board

committees the director seats on, as well as the director's committee member type (member or chair person) and the member type effective date.

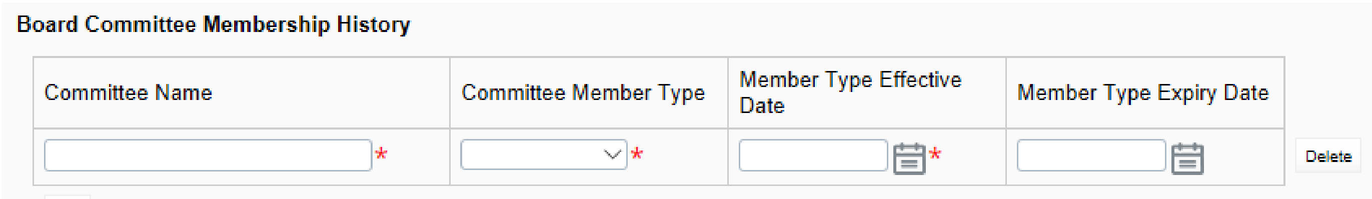


Figure 4.8-6: Add Director Information Page

Note

- The Member Type Expiry Date should always remain blank in this instance. You are NOT required to provide the date in which the director's term expires.

13. Under Affiliation Type History, provide the affiliation code, as applicable, from the drop down menu and the director affiliation type effective date.

Note

- For example, if a director is an officer or employee of the Financial Institution or an Affiliate "3(a)" will be shown as their Affiliation type. Any other Affiliation status must be indicated by choosing one of "3(b)" to "3(i)", as applicable by the Act. The definitions can also be found under Portal Documents/English/Return Instructions/Corporate Returns. If none of the above applies, this field should be left blank.

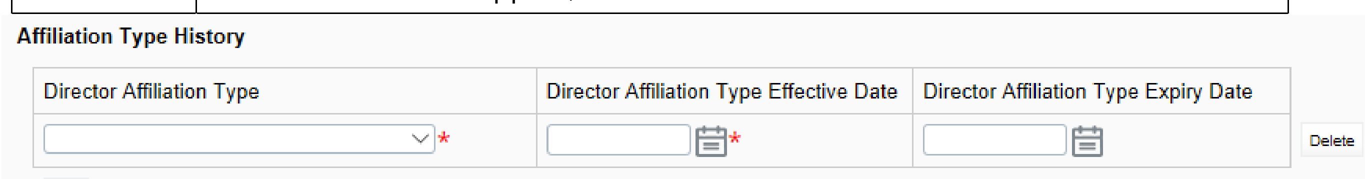


Figure 4.8-7: Add Director Information Page

Note

- The Director Affiliation Type Expiry Date should always remain blank in this instance.

14. Under Affiliate/Non-Affiliate History, you are required to provide a file attachment containing both the director's affiliate and non-affiliate information. The file attachment can either be in Excel, Word or PDF version.

	Affiliate Details
	• If the Director is an officer or an employee of the Financial Institution or any Affiliate thereof, indicate the principal position(s) held as of the date of the Annual Meeting of shareholders or date of the appointment. (If the Director is not an officer or employee, no information is required.)
	Non-Affiliate Details
	• List all other bodies corporate or firms (other than the Financial Institution and Affiliates) in which the director is a director, officer or member.

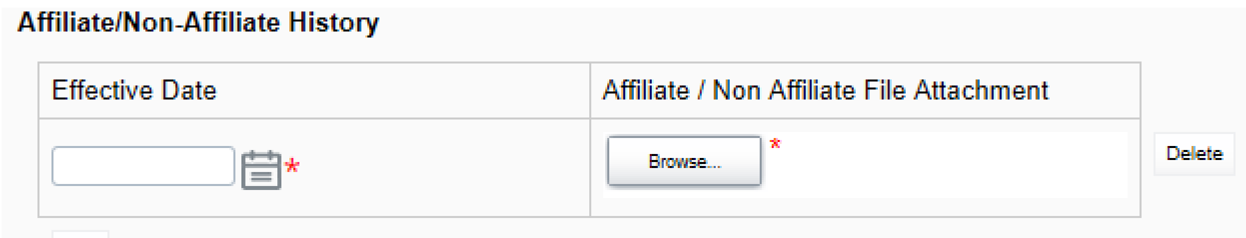


Figure 4.8-8: Add Director Information Page

	Note
	• The Director's Affiliate/Non-Affiliate file attachment cannot be amended. You are required to submit a new file attachment after every Annual General Meeting or when there are changes during the year.

15. Under Add Director Type, this section only applies to Canadian Life Insurance Companies. In this section, you are required to let OSFI know if the director is also a "Shareholder" of the company as well as the director type effective date.

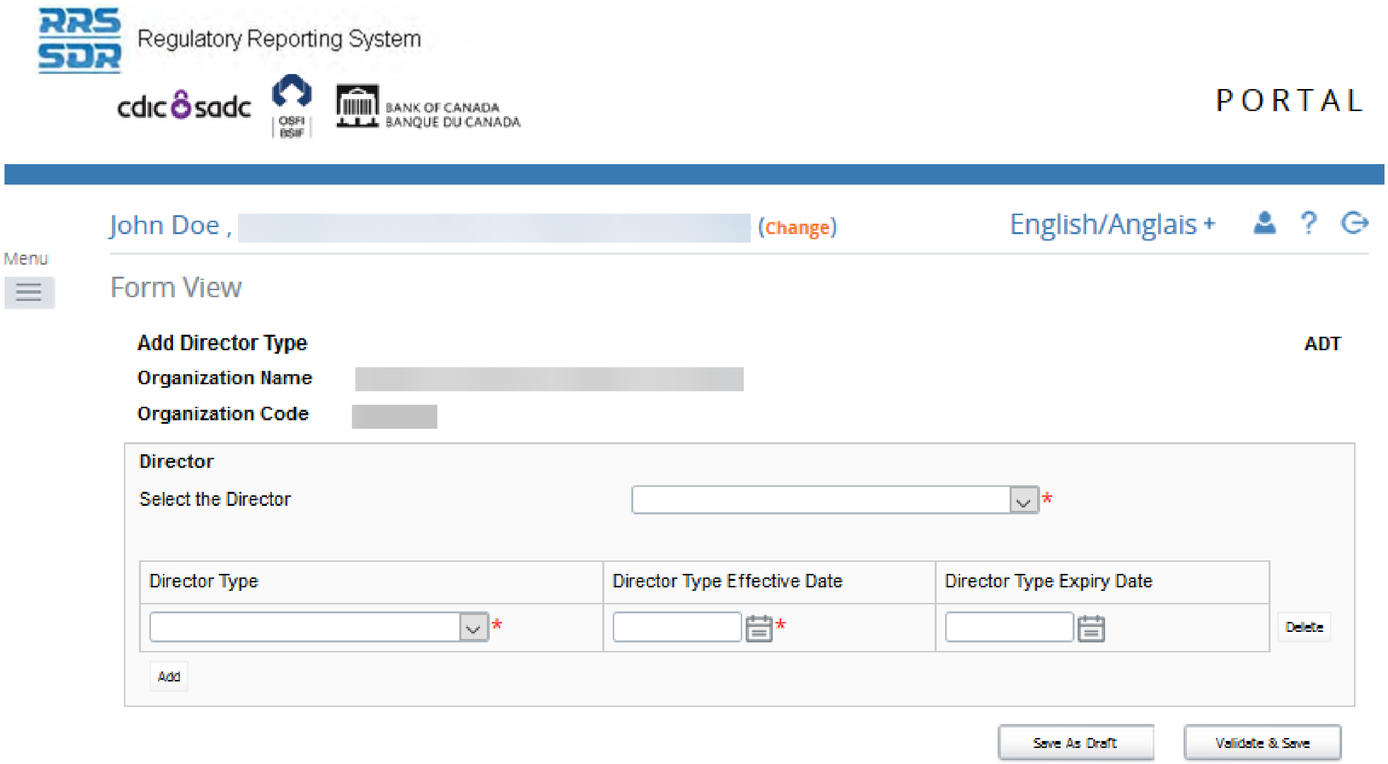


Figure 4.8-9: Add Director Information Page

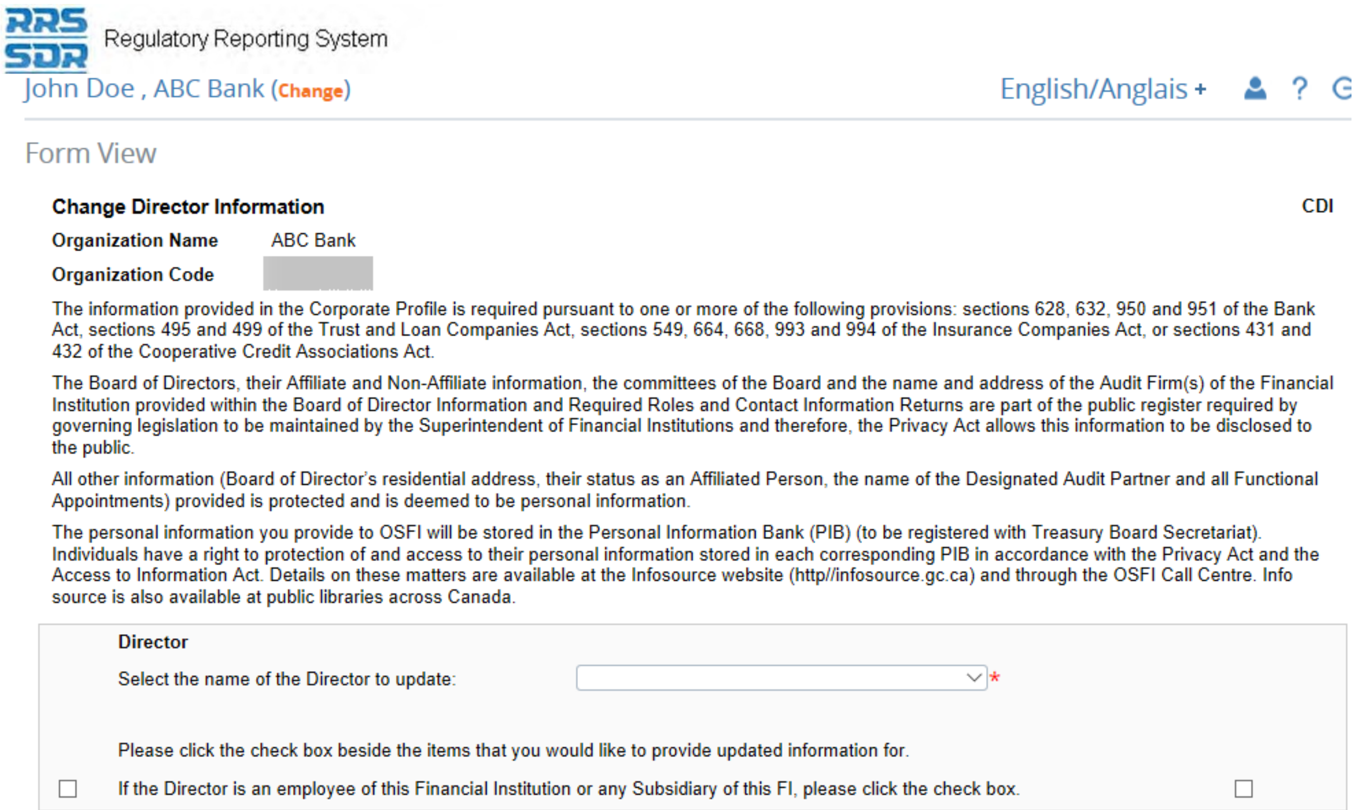
	Note
	• The Director Type Expiry Date should always remain blank in this instance. You are NOT required to provide the date in which the director's term expires.

16. To provide the information on whether the director is also an employee of this FI or any of its subsidiaries, this information must be provided under the Change Director Information Page. The current default is set to No.

17. Click on "Add Instance" on the right hand side next to Change Director Information.

18. Then select the name of the Director you wish to provide information for, from the drop down menu.

19. To provide a "Yes" response to this question, you must check off the box on the left hand side of the question to enable the question, then you must also check off the box on the right hand side.


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Change Director Information CDI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Select the name of the Director to update: *

Please click the check box beside the items that you would like to provide updated information for.

If the Director is an employee of this Financial Institution or any Subsidiary of this FI, please click the check box.

Figure 4.8-10: Change Director Information Page

20. Click the **Validate & Save** button.
21. In order to add expiry dates to the departing Director, click on "Add Instance" on the right hand side next to Change Director Information.

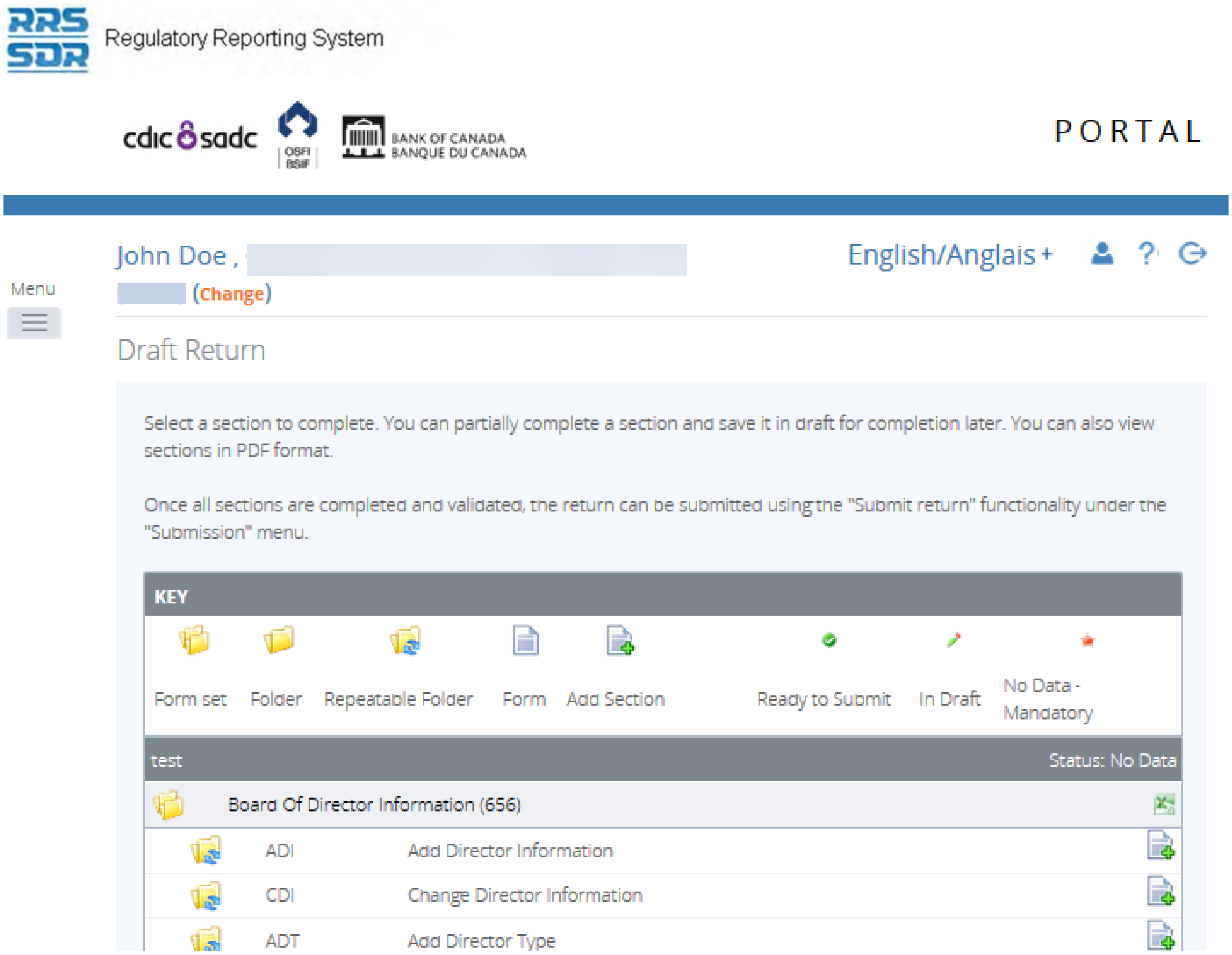
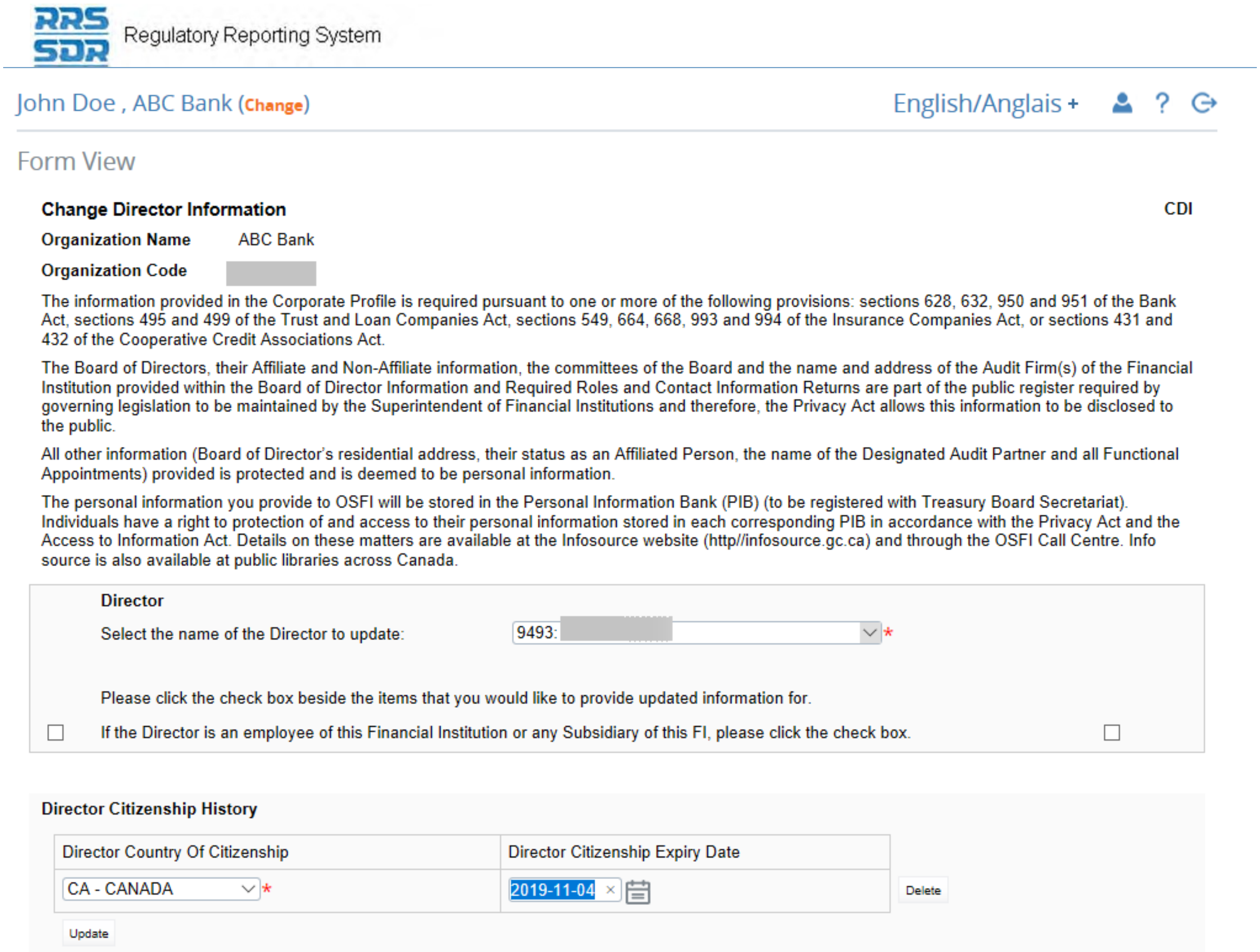


Figure 4.8-11: Change Director Information Page

22. The select the name of the departing Director you wish to provide information for, from the drop down menu.
23. Click on "Update" button under Director Citizenship History.
24. Choose the appropriate country of citizenship from the drop down menu.
25. Add a Director Citizenship Expiry Date.


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Change Director Information CDI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Select the name of the Director to update: 9493: *

Please click the check box beside the items that you would like to provide updated information for.

If the Director is an employee of this Financial Institution or any Subsidiary of this FI, please click the check box.

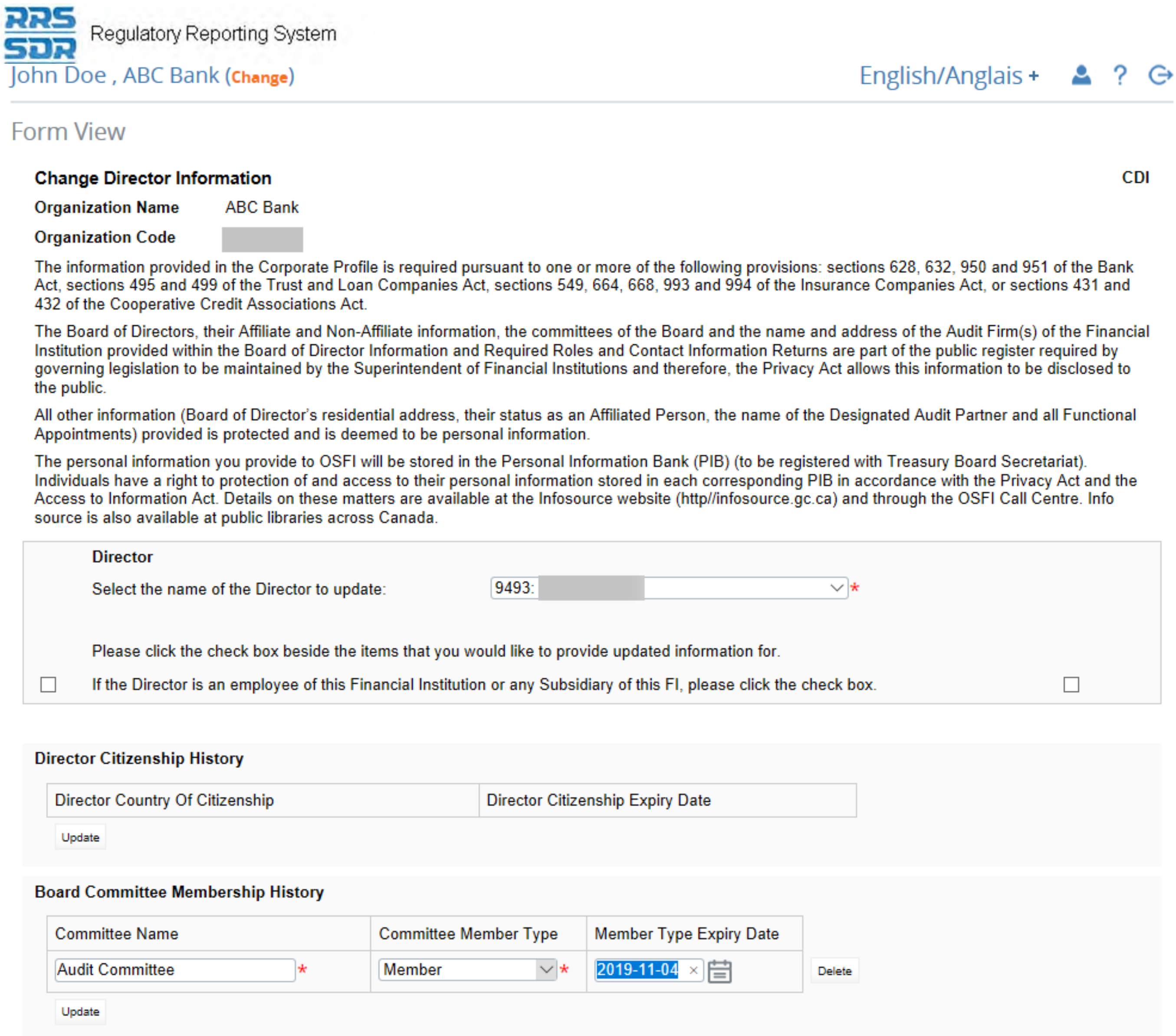
Director Citizenship History

Director Country Of Citizenship	Director Citizenship Expiry Date	
CA - CANADA *	2019-11-04	Delete

Update

Figure 4.8-12: Change Director Information Page

26. Under Board Committee Membership History, click on “Update” button.
27. Enter the full name of the committee you wish to remove, exactly as shown under the organization profile.
28. Select the appropriate committee member type and add the member type expiry date (see example below).



Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

Form View

Change Director Information CDI

Organization Name	ABC Bank
Organization Code	

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Select the name of the Director to update: 9493: *

Please click the check box beside the items that you would like to provide updated information for.

☐ If the Director is an employee of this Financial Institution or any Subsidiary of this FI, please click the check box. ☐

Director Citizenship History

Director Country Of Citizenship	Director Citizenship Expiry Date

Update

Board Committee Membership History

Committee Name	Committee Member Type	Member Type Expiry Date	
Audit Committee *	Member *	2019-11-04	Delete

Update

Figure 4.8-13: Change Director Information Page

Board Committee Membership History

For committee names, it is critical that the name be identical to the name as it appears on the organization profile. For example, if the name within your profile is shown (i.e. Audit Committee / Comité de révision) , then the full name must also appear on this page. You can also accomplish this by doing a copy and paste from your profile into this return. The system requires an exact match of the committee name, even an additional space will result in a validation error upon validating and saving.

29. Click the **Validate & Save** button. This will bring you back to your Draft Return page.
30. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting](#)

a Corporate Return.

4.8.2 How to make board committee name changes within your Organization Profile

To make board related changes to an existing Director/Board Chairman within your organization profile, you will need to create the Board of Director Information return.

The following example explains how to make changes to board committee names, i.e. your Audit Committee has been renamed to Audit and Risk Committee.

	Change Director Information Page
	Other than the director/employee question at the top of this page, this page must only be used to add membership related expiry dates. You cannot update membership information on this page. You can only end date existing information, then add any new information under the Add Director Information page.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

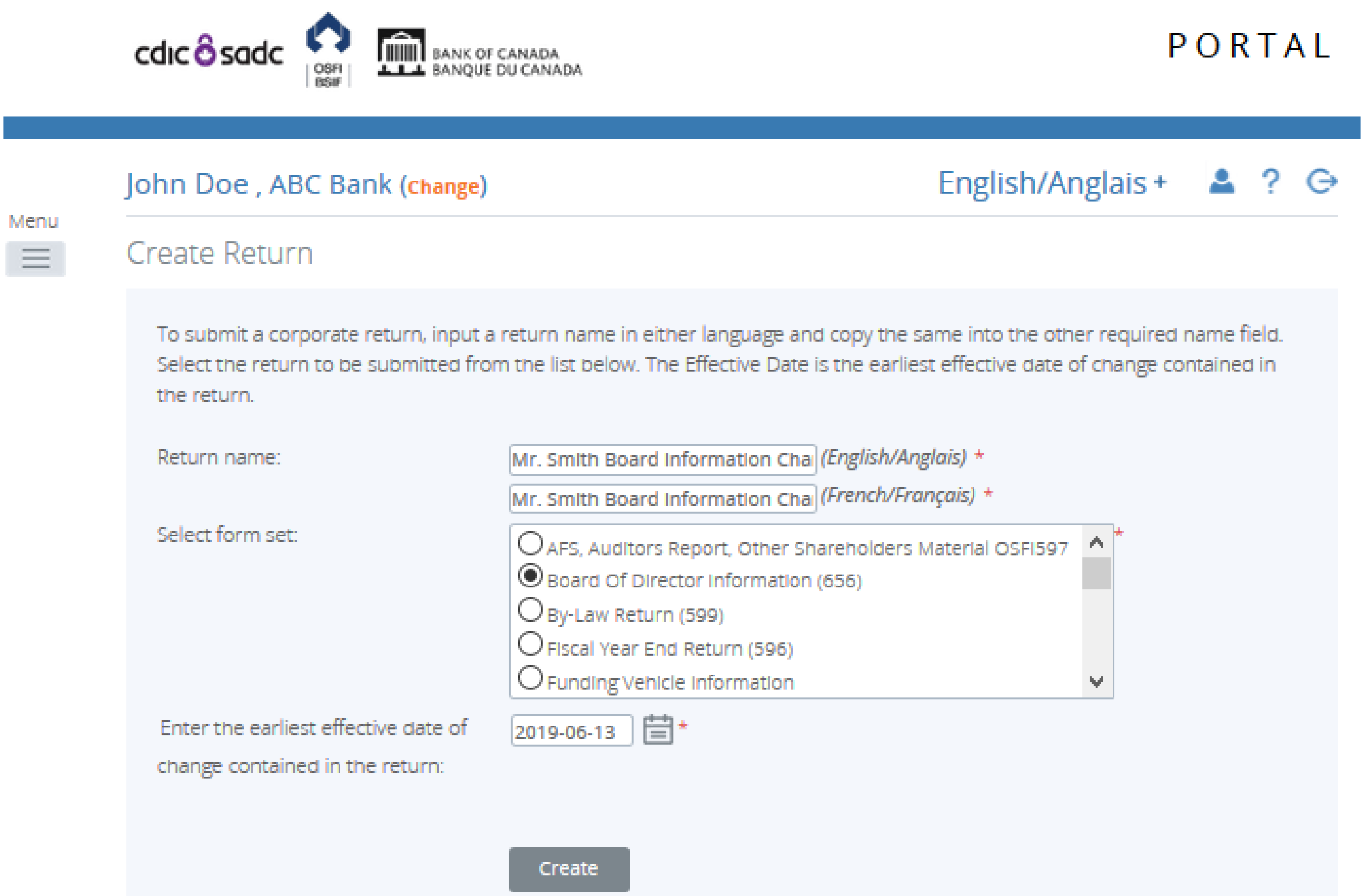


Figure 4.8-14: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Board of Director Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click the Draft Returns menu item to view the return in the draft folder.
8. Click on the newly created return to open the return.

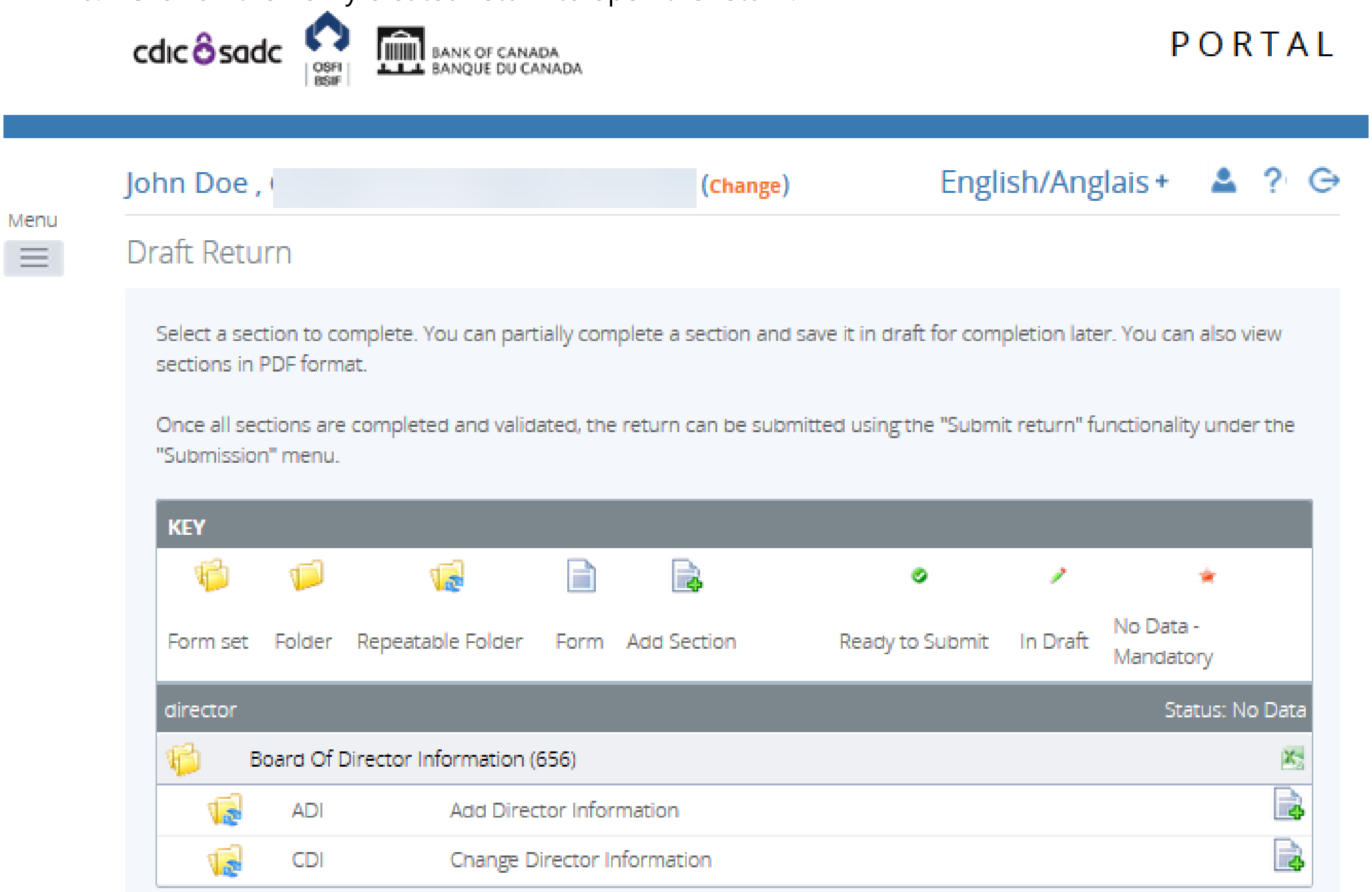
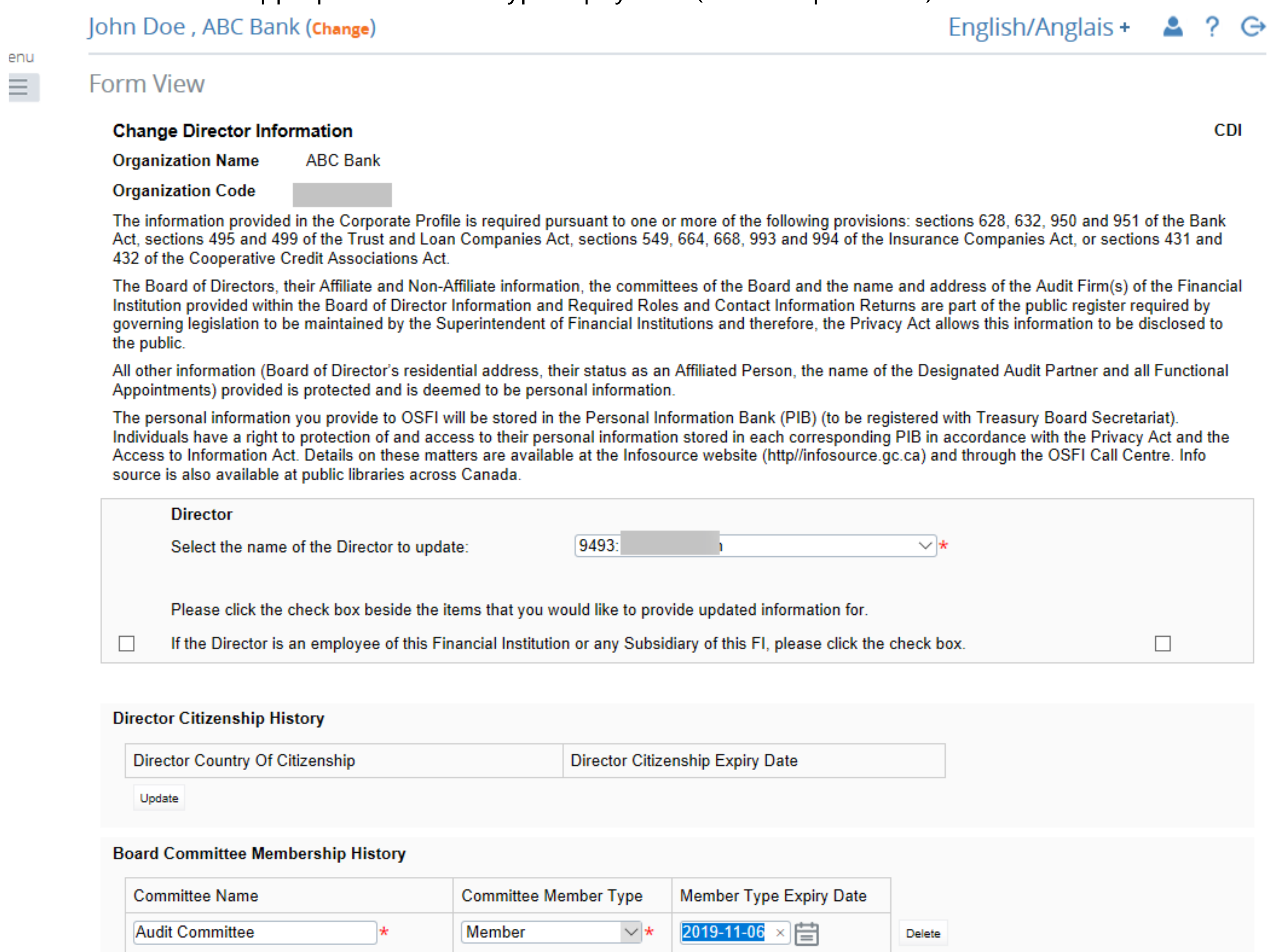


Figure 4.8-15: Draft Return Page

9. Click on "Add Instance" on the right hand side next to Change Director Information.
10. The select the name of the Director you wish to provide information for, from the drop down menu.
11. Enter the full name of the committee you wish to remove, exactly as shown under the organization profile.
12. Select the appropriate member type for the individual.

	NOTE:
	When making changes to an existing director, the system will not automatically pre-populate the director information from the organization profile.

13. Select the appropriate member type expiry date (see example below).


John Doe , ABC Bank (Change) English/Anglais +

Form View

Change Director Information CDI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Select the name of the Director to update: 9493: *

Please click the check box beside the items that you would like to provide updated information for.

If the Director is an employee of this Financial Institution or any Subsidiary of this FI, please click the check box.

Director Citizenship History

Director Country Of Citizenship	Director Citizenship Expiry Date

Update

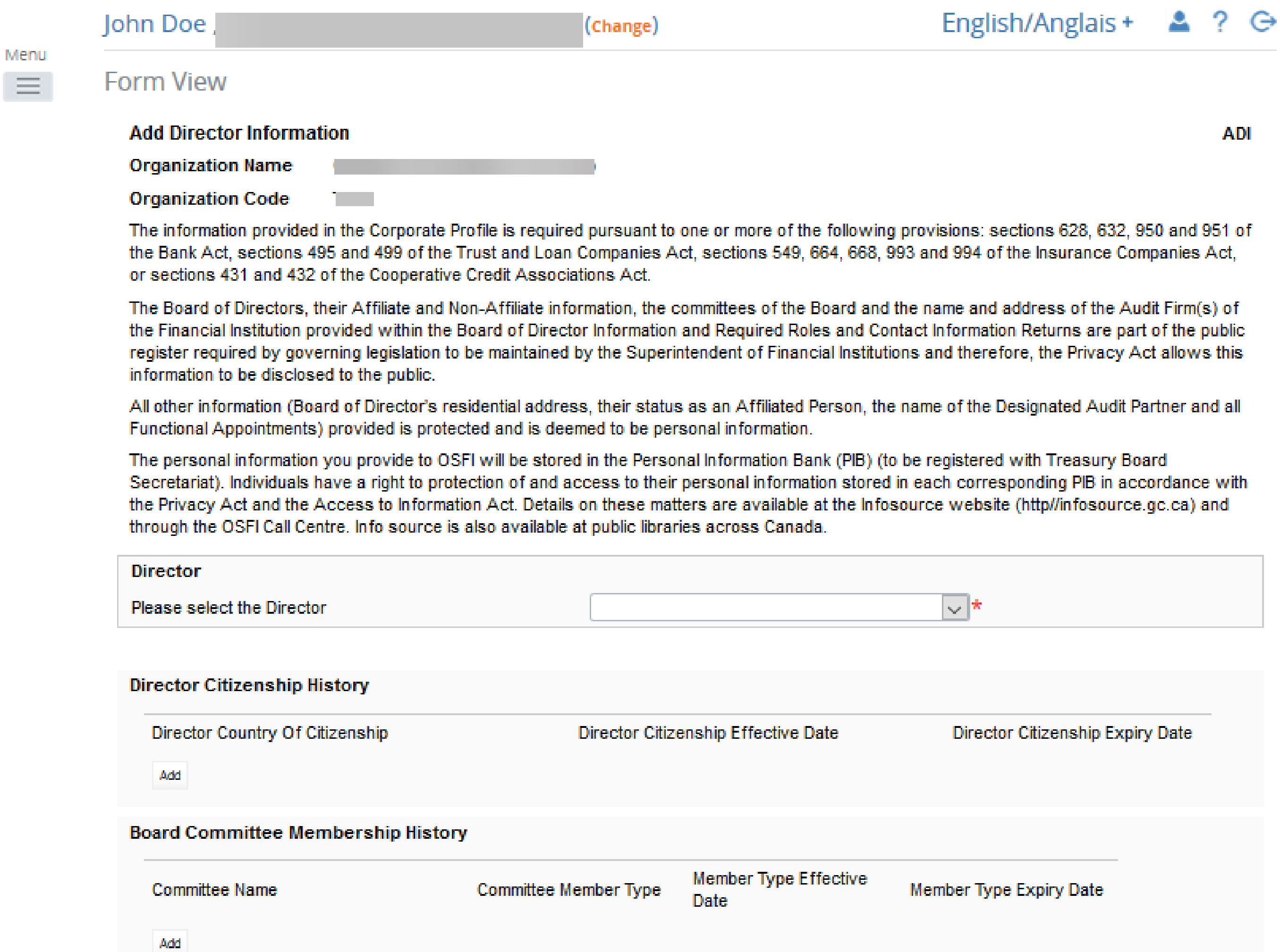
Board Committee Membership History

Committee Name	Committee Member Type	Member Type Expiry Date	
Audit Committee *	Member *	2019-11-06	Delete

Figure 4.8-16: Change Director Information Page

	Board Committee Membership History
	For committee names, it is critical that the name be identical to the name as it appears on the organization profile. For example, if the name within your profile is shown (i.e. Audit Committee / Comité de révision), then the full name must also appear on this page. You can also accomplish this by doing a copy and paste from your profile into this return. The system requires an exact match of the committee name even an additional space will result in a validation error upon validating and saving.

14. Click the **Validate & Save** button. This will bring you back to your Draft Return page.
15. Now click on “Add Instance” on the right hand side next to Add Director Information.
16. The select the name of the Director you wish to provide information for, from the drop down menu.


John Doe , (Change) English/Anglais + ?

Menu

Form View

Add Director Information ADI

Organization Name

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Please select the Director *

Director Citizenship History

Director Country Of Citizenship	Director Citizenship Effective Date	Director Citizenship Expiry Date
Add		

Board Committee Membership History

Committee Name	Committee Member Type	Member Type Effective Date	Member Type Expiry Date
Add			

Figure 4.8-17: Add Director Information Page

17. Under Board Committee Membership History, click on the “Add” button.
18. Type the new name of the committee, in the language of your choice.
19. Select the appropriate committee member type for the individual.
20. Select the appropriate member type effective date.
21. Click on the **Validate & Save** button.

	NOTE:
	You will be required to make the same change for each director listed on the committee name for which you are changing.

22. Follow instructions under Section 3.1 General Instructions on Completing and Submitting a Corporate Return.

4.8.3 How to make board committee membership changes within your Organization Profile

To make board committee membership changes to an existing Director/Board Chairman within your organization profile, you will need to create the Board of Director Information return.

The following example explains how to make changes to a director's membership on a specific board committee, i.e. the director went from being a regular member to the chair person of the Audit Committee.

	Change Director Information Page
	Other than the director/employee question at the top of this page, this page must only be used to add membership related expiry dates. You cannot update membership information on this page. You can only end date existing information, then add any new information under the Add Director Information page.

1. Hover your mouse over the Menu and Manage Returns menu item.
2. Click **Create Return**.

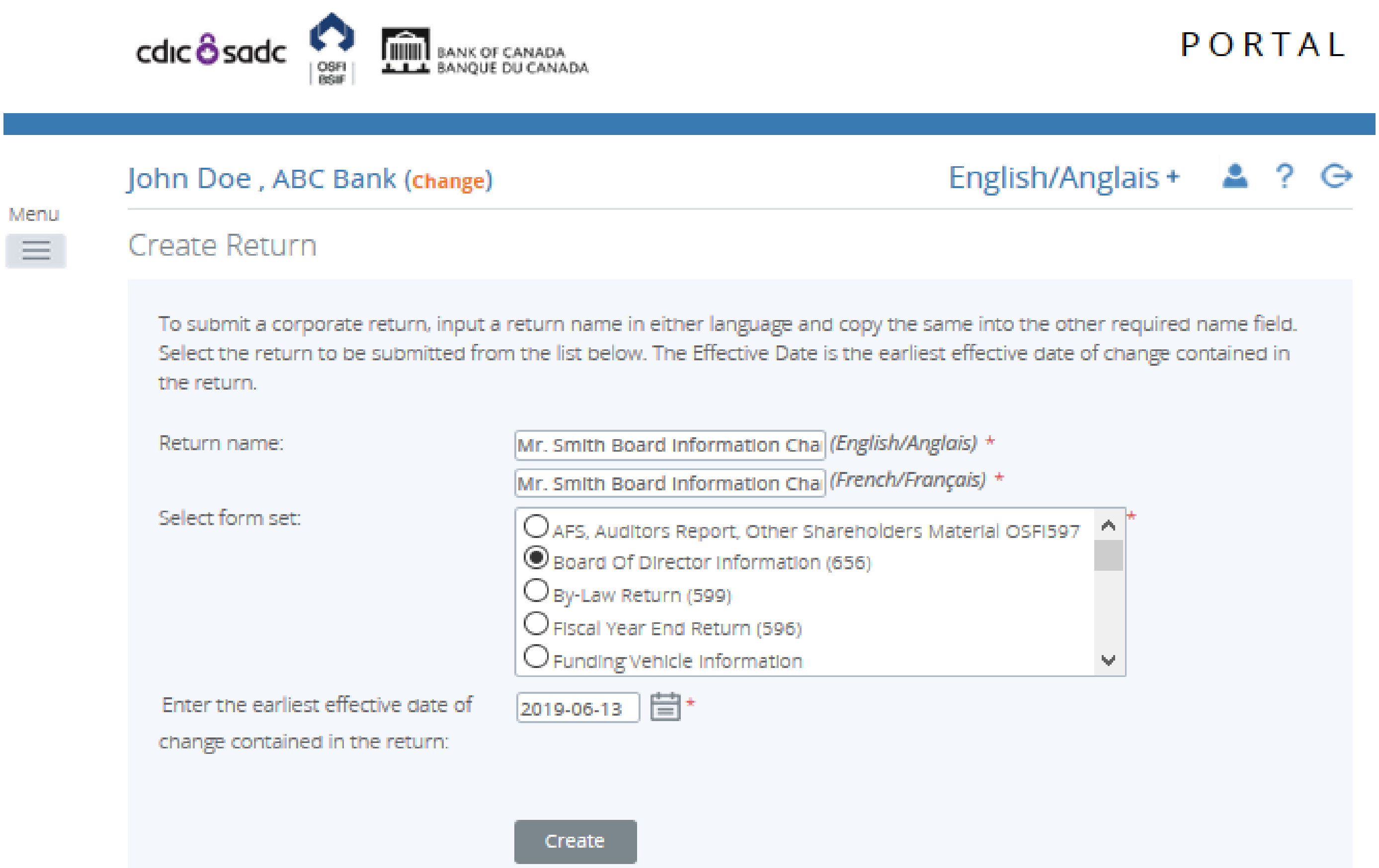


Figure 4.8-18: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Board of Director Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click the Draft Returns menu item to view the return in the draft folder.
8. Click on the newly created return to open the return.

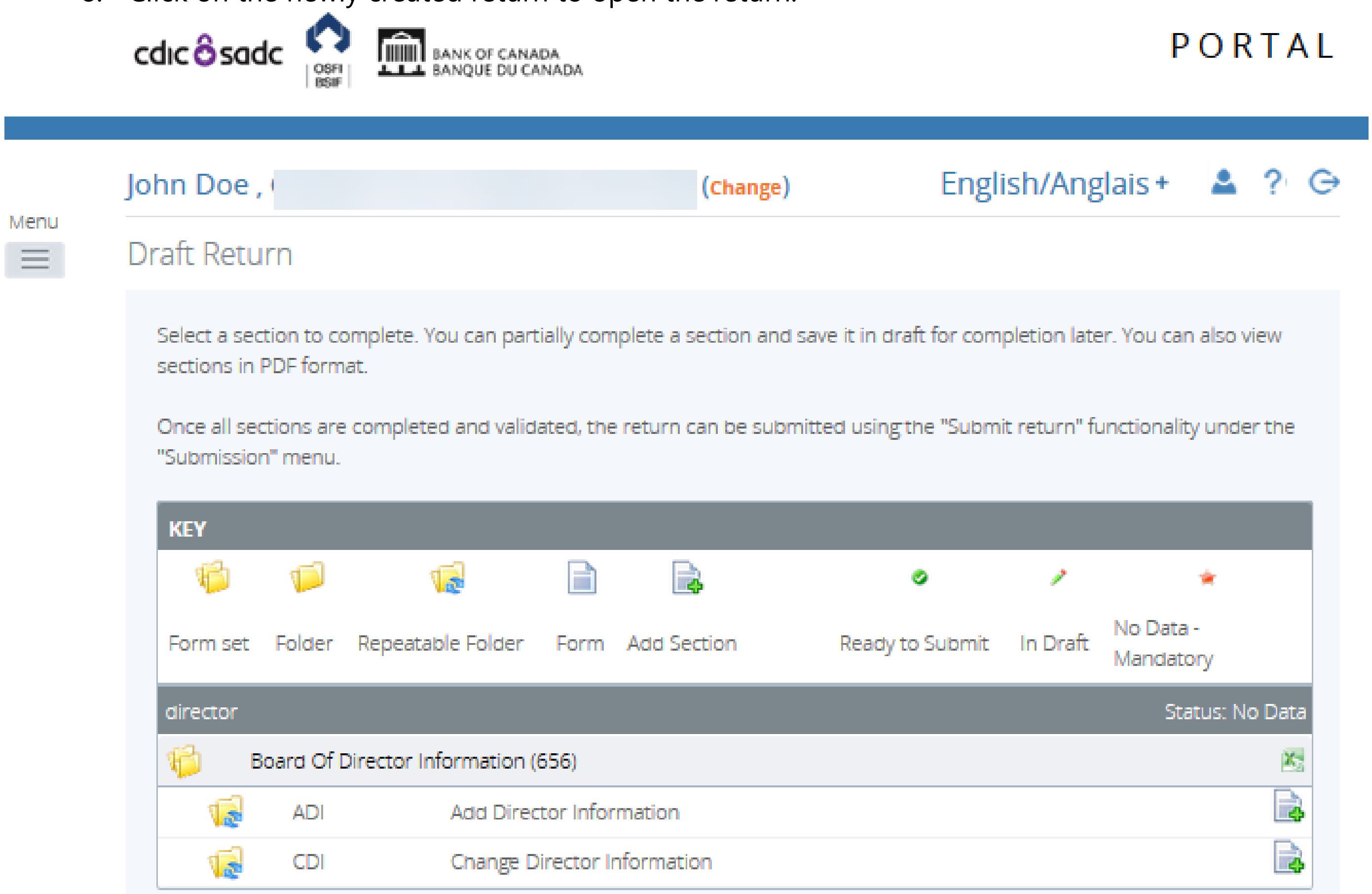
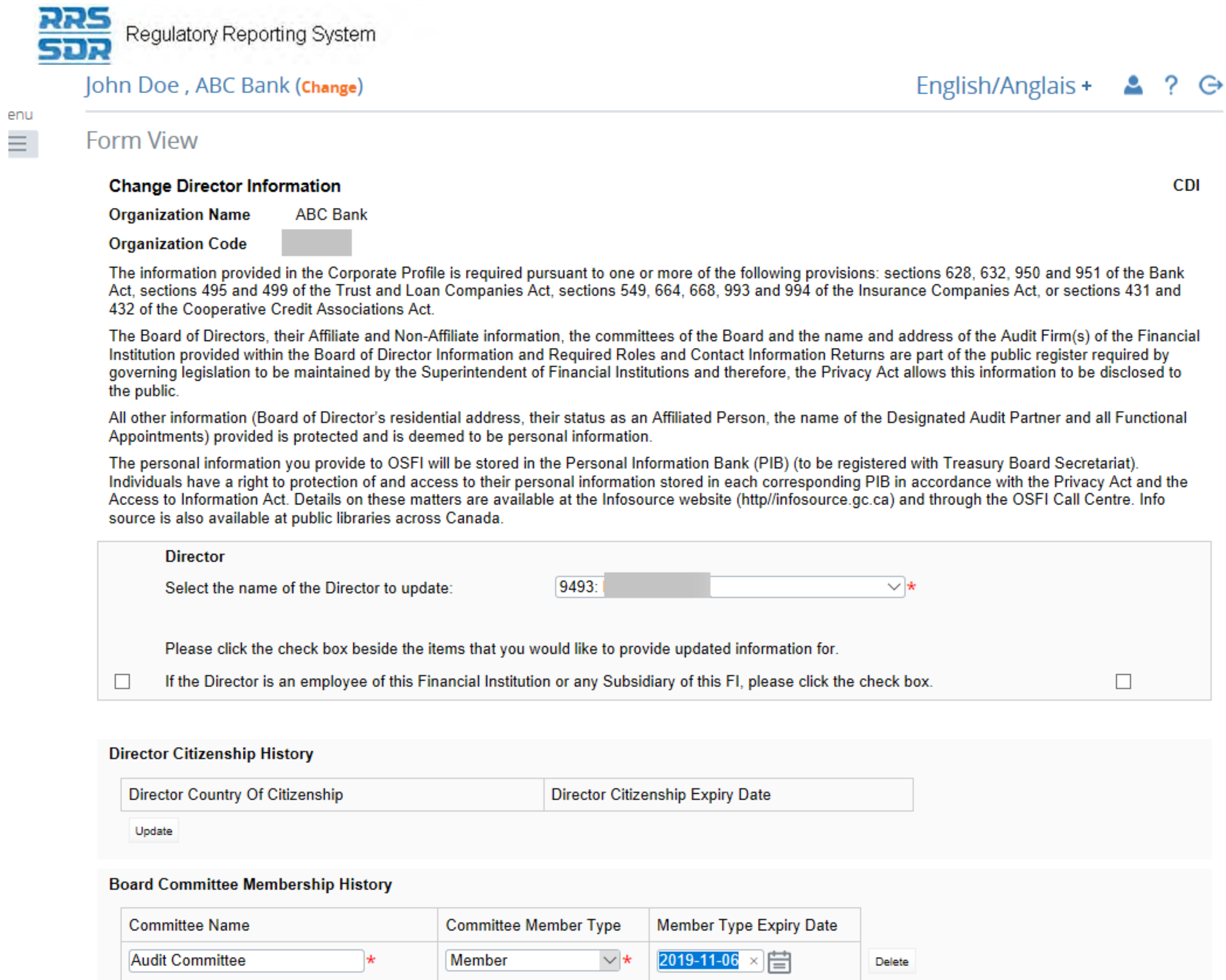


Figure 4.8-19: Draft Return Page

9. Click on "Add Instance" on the right hand side next to Change Director Information.
10. The select the name of the Director you wish to provide information for, from the drop down menu.
11. Enter the full name of the committee you wish to remove, exactly as shown under the organization profile.
12. Select the appropriate member type for the individual/committee.
13. Enter the appropriate member type expiry date (see example below).


Regulatory Reporting System

John Doe , ABC Bank (Change) English/Anglais +

enu

Form View

Change Director Information CDI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Select the name of the Director to update: 9493: *

Please click the check box beside the items that you would like to provide updated information for.

If the Director is an employee of this Financial Institution or any Subsidiary of this FI, please click the check box.

Director Citizenship History

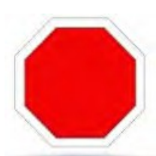
Director Country Of Citizenship	Director Citizenship Expiry Date

Update

Board Committee Membership History

Committee Name	Committee Member Type	Member Type Expiry Date	
Audit Committee *	Member *	2019-11-06	Delete

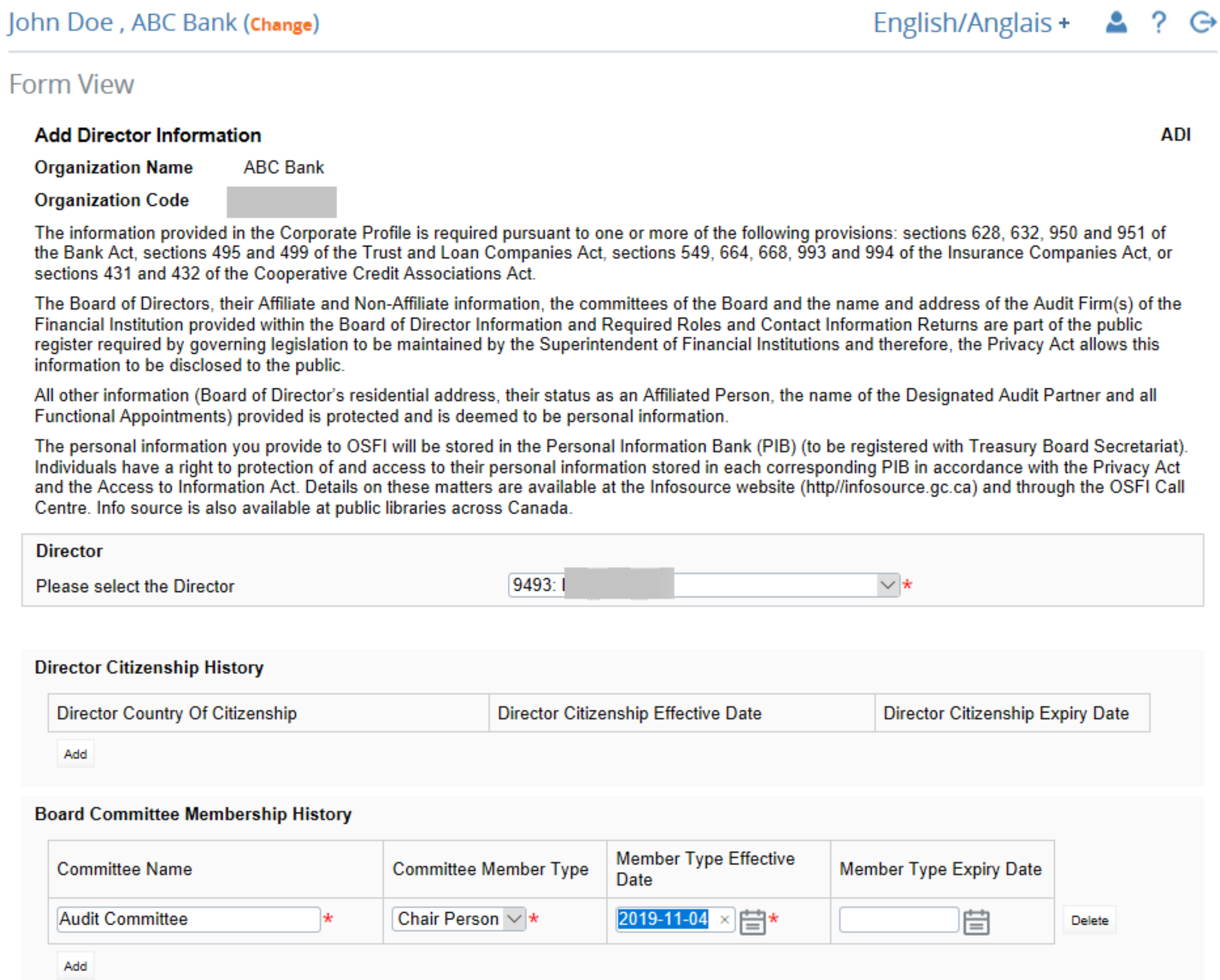
Figure 4.8-20: Change Director Information Page

	Board Committee Membership History
	For committee names, it is critical that the name be identical to the name as it appears on the organization profile. For example, if the name within your profile is shown (i.e. Audit Committee / Comité de révision), then the full name must also appear on this page. You can also accomplish this by doing a copy and paste from your profile into this return. The system requires an exact match of the committee name even an additional space will result in a validation error upon validating and saving.

14. Click the **Validate & Save** button. This will bring you back to your Draft Return page.
15. Now click on "Add Instance" on the right hand side next to Add Director Information.
16. The select the name of the Director you wish to provide information for, from the drop

down menu.

17. Enter the name of the committee you wish to add.
18. Select the appropriate member type for the individual/committee.
19. Enter the appropriate member type effective date (see example below).



John Doe , ABC Bank (Change) English/Anglais +

Form View

Add Director Information ADI

Organization Name ABC Bank

Organization Code

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the Bank Act, sections 495 and 499 of the Trust and Loan Companies Act, sections 549, 664, 668, 993 and 994 of the Insurance Companies Act, or sections 431 and 432 of the Cooperative Credit Associations Act.

The Board of Directors, their Affiliate and Non-Affiliate information, the committees of the Board and the name and address of the Audit Firm(s) of the Financial Institution provided within the Board of Director Information and Required Roles and Contact Information Returns are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the Privacy Act allows this information to be disclosed to the public.

All other information (Board of Director's residential address, their status as an Affiliated Person, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the Privacy Act and the Access to Information Act. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

Director

Please select the Director 9493: I *

Director Citizenship History

Director Country Of Citizenship	Director Citizenship Effective Date	Director Citizenship Expiry Date

Add

Board Committee Membership History

Committee Name	Committee Member Type	Member Type Effective Date	Member Type Expiry Date	
Audit Committee *	Chair Person *	2019-11-04 *		Delete

Add

Figure 4.8-21: Add Director Information Page

20. Click on the **Validate & Save** button.
21. Follow instructions under [Section 3.1 General Instructions on Completing and Submitting a Corporate Return](#).

5.0 Viewing Documents

The Documents menu item provides the ability to view reference documents in the Portal Documents folder.

To view documents:

Begin at the RRS Welcome page.

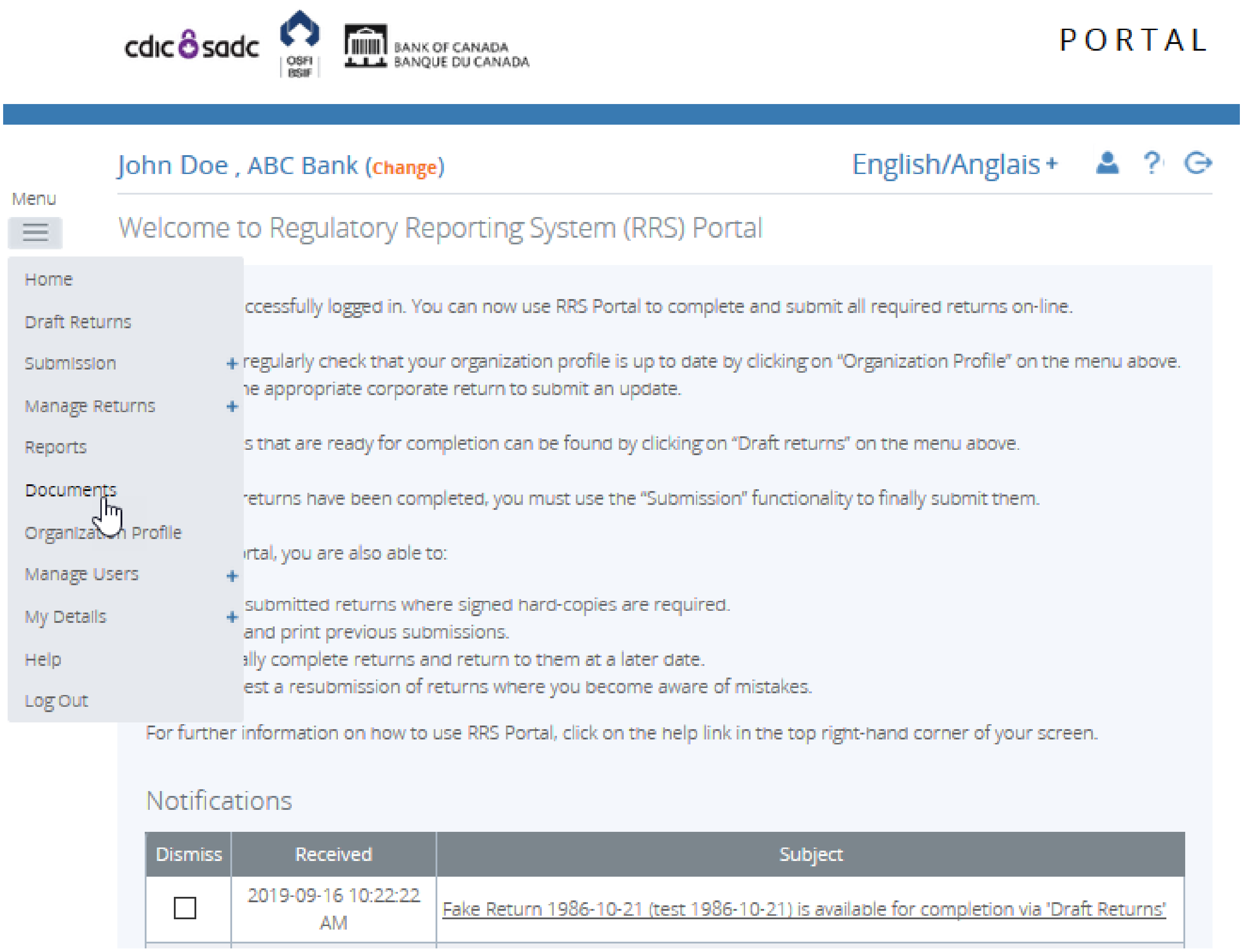


Figure 5-1: Welcome Page

1. Hover over Menu and click the **Documents** item.

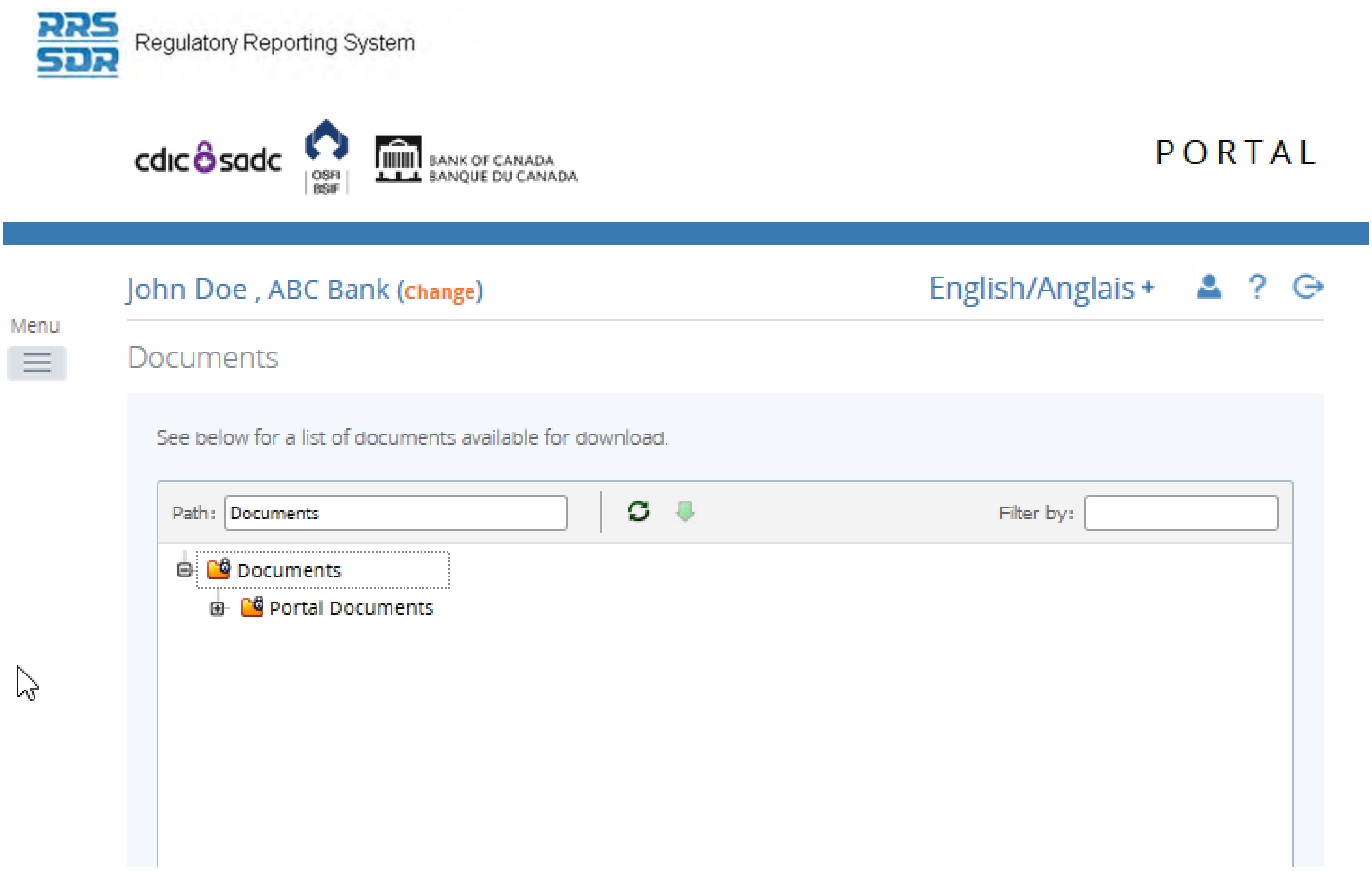


Figure 5-2: Documents Page

2. Double-click the Documents folder.
3. Double-click the Portal Documents folder.
4. Double-click the specific folder to be viewed.
5. Select the document to be viewed.
6. Click the green down arrow. A message displays prompting you to open or save the document.
7. Click the **Open** button. The document opens for viewing.

6.0 Organization Profile

The Organization Profile menu item can only be used to view the profile of your organization in RRS. This profile consists of information such as your organization's general contact information, its preferred language, general details of the organization, all required roles and their contact information, etc. This section provides instruction on how to view your organization profile and how to change profile information if required.

As described in Section 3.0, Scenario #3 is triggered when a review of your organization's profile indicates the need for an update to specific corporate information. This update is performed through the submission of a corporate return using the Manage Returns menu item.

To view your organization's profile:

Begin at the Welcome page.

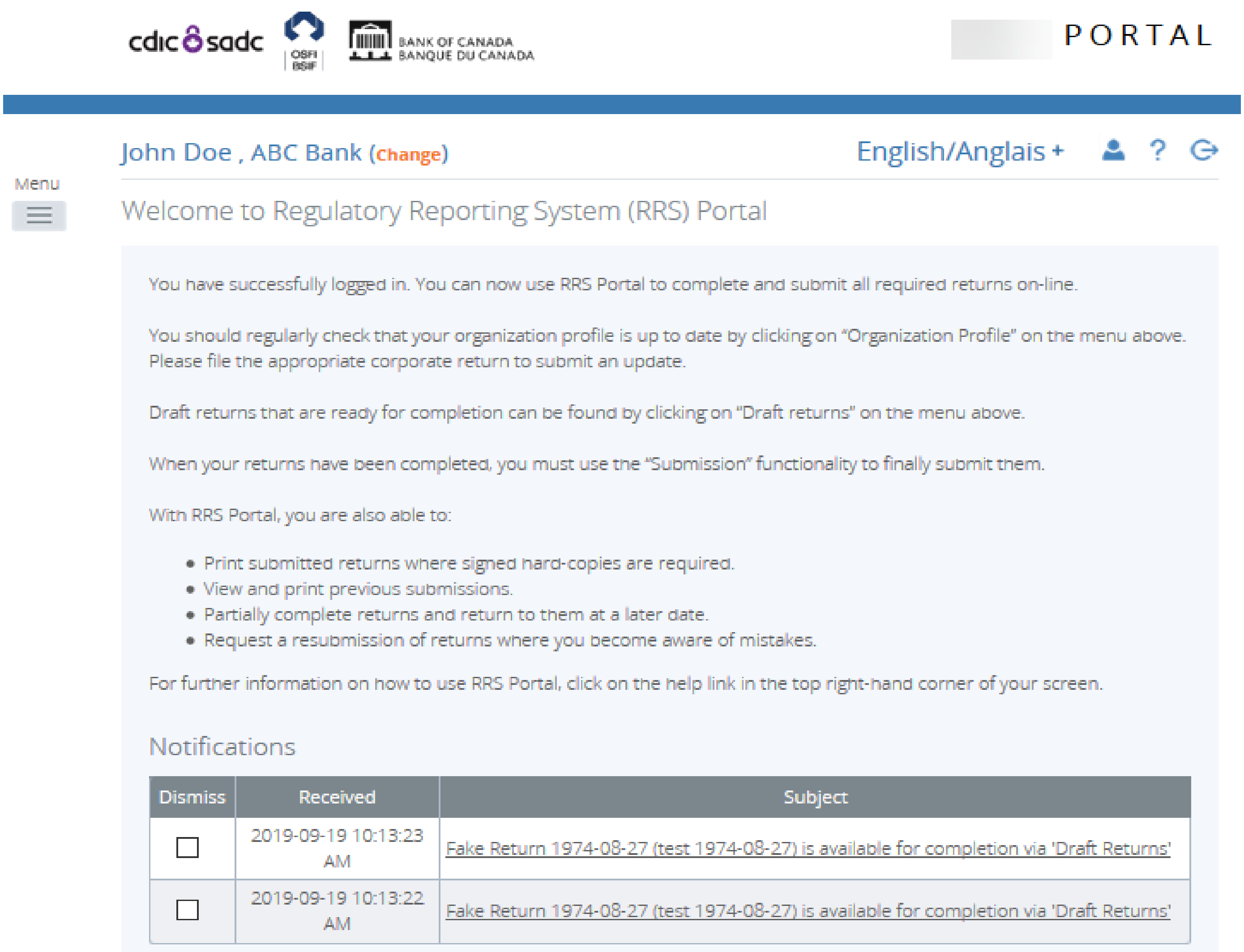


Figure 6-1: Welcome Page

1. Hover over Menu and select Organization Profile.

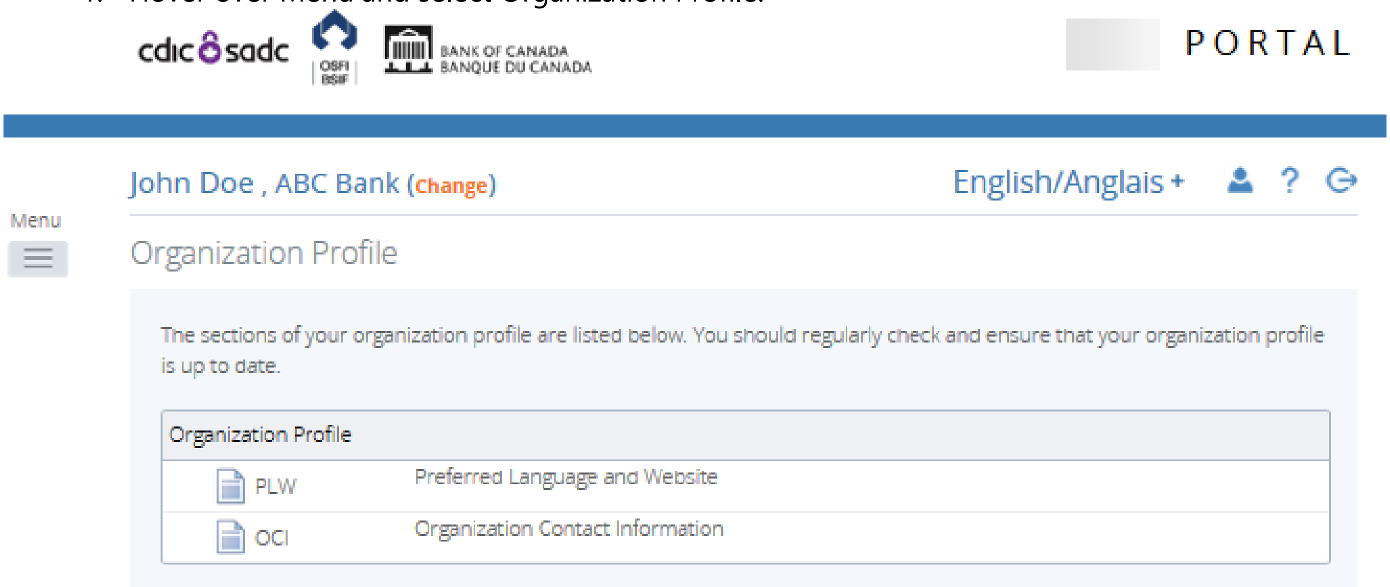


Figure 6-2: Organization Profile Page

2. Select a section of the organization profile to view.

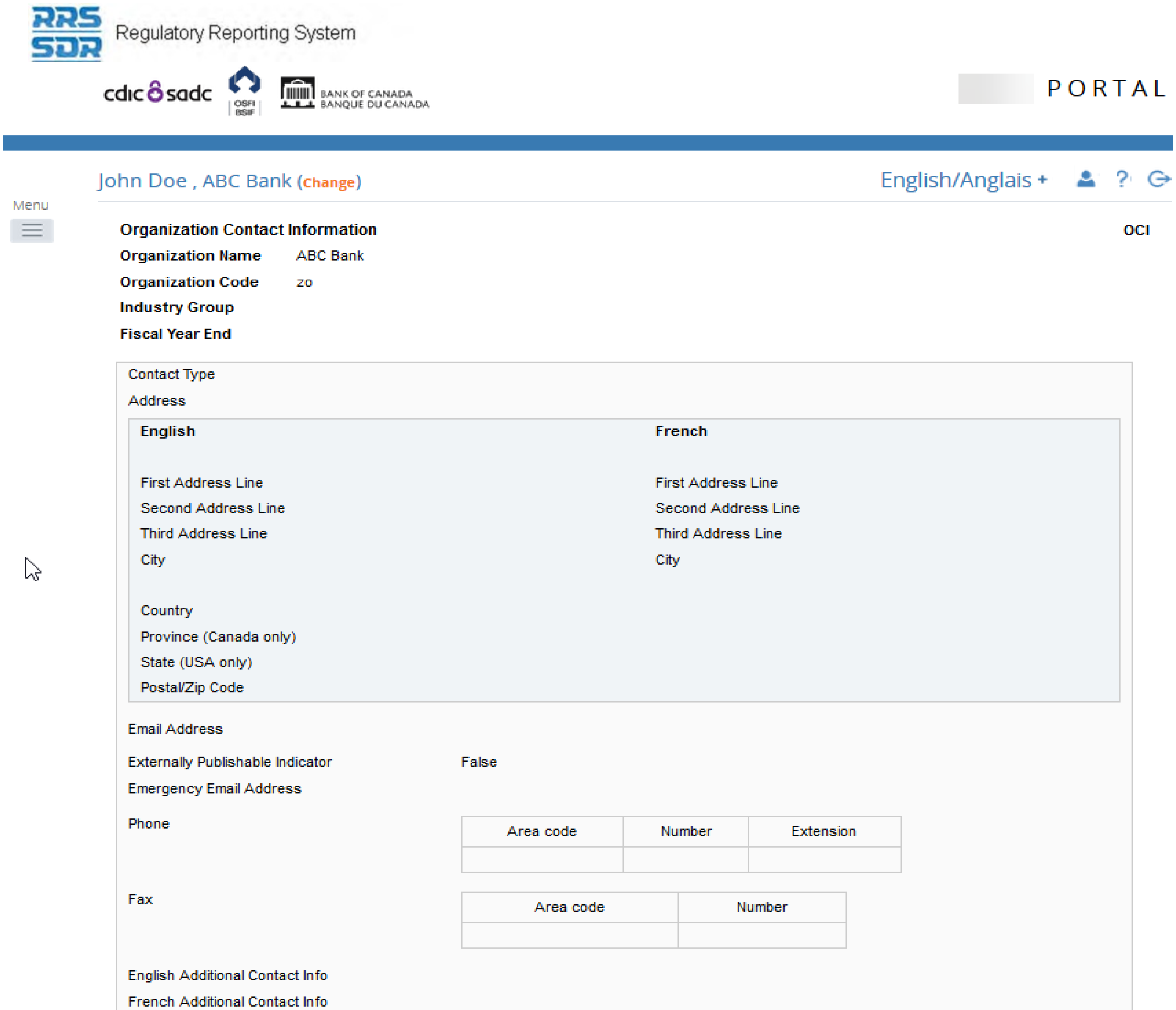


Figure 6-3: Board of Directors Section Page

3. Review the listed information.

To change organization profile information:

Begin at the Create Return page.

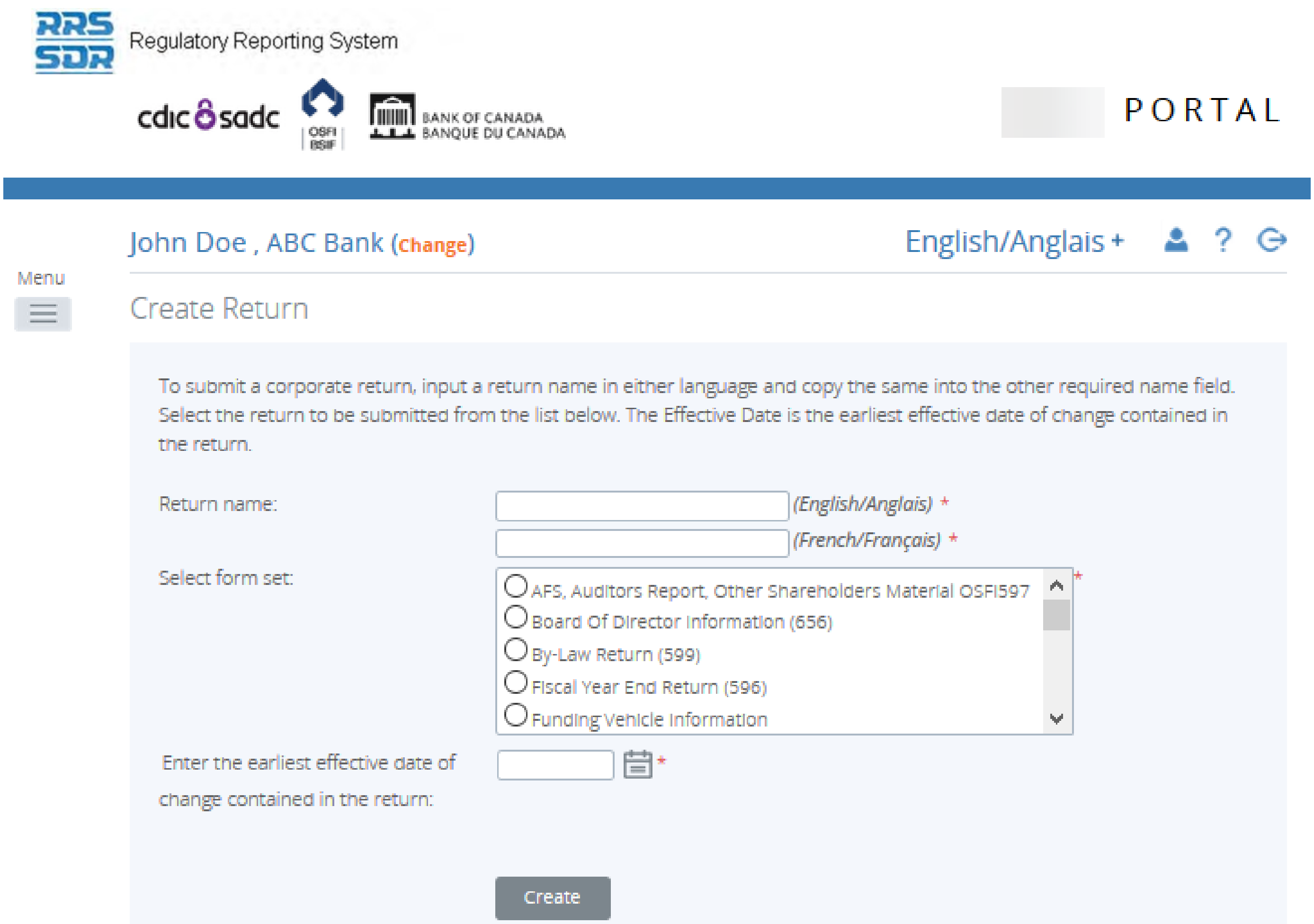


Figure 6-4: Create Return Page

Follow the steps outlined in Section 3.5 to 3.7 depending on the profile section that needs to be updated.

7.0 Managing Your Details

From the My Details menu item you can view and/or edit your user details and change your password. Although you have the ability to change your personal information ***it is strongly recommended that changes to your first and last name and email address be changed by your Local Registration Authority (LRA) to ensure that these user details are updated in both RRS and the BoC Connect.***

Information that can be edited includes your first and last name, email address, telephone number and your language of preference. Information that can be viewed is your assigned permissions. Information that you can edit directly includes your telephone number and your language of preference.

To edit your user details:

1. Hover your mouse over Menu and select My Details.

2. Click the **View/Edit My Details** sub-menu item.

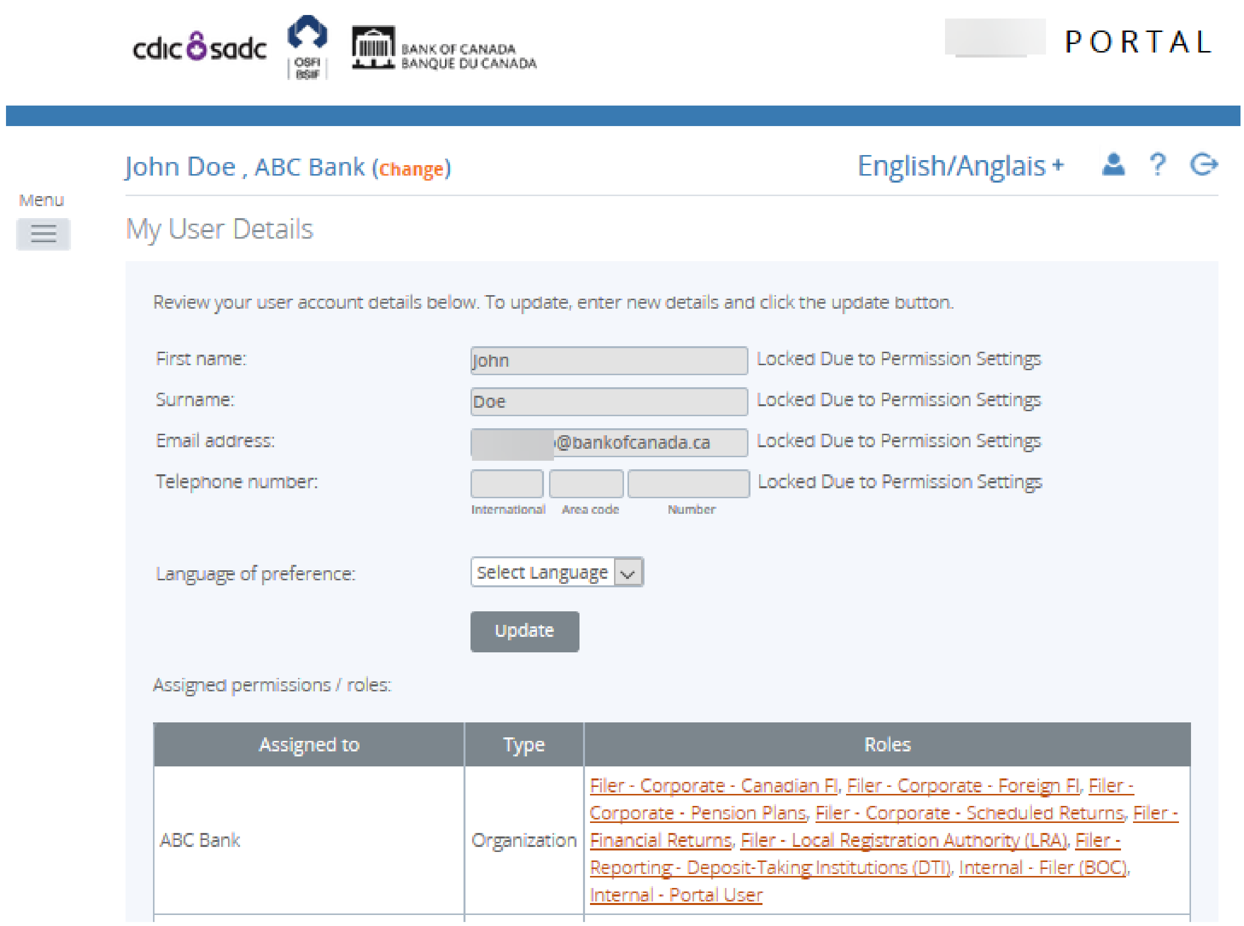


Figure 7-1: My Details Page

	If your first and/or last name or email address need to be updated:
	Please contact your LRA to update your first and/or last name.

3. Enter your new telephone number in the **Telephone number** field.
4. Click the drop-down arrow on the **Language of preference** field to change your language. This will set the language that displays when you log into RRS.

   Note: you can change your language within a session by selecting the language drop-down from the top right of the application.
5. Click the **Update** button.

To view assigned permissions:

1. Click the name of a role in the **Roles** column within the **Assigned permissions** section.
2. Click each tab to view information about the permissions assigned to your role.

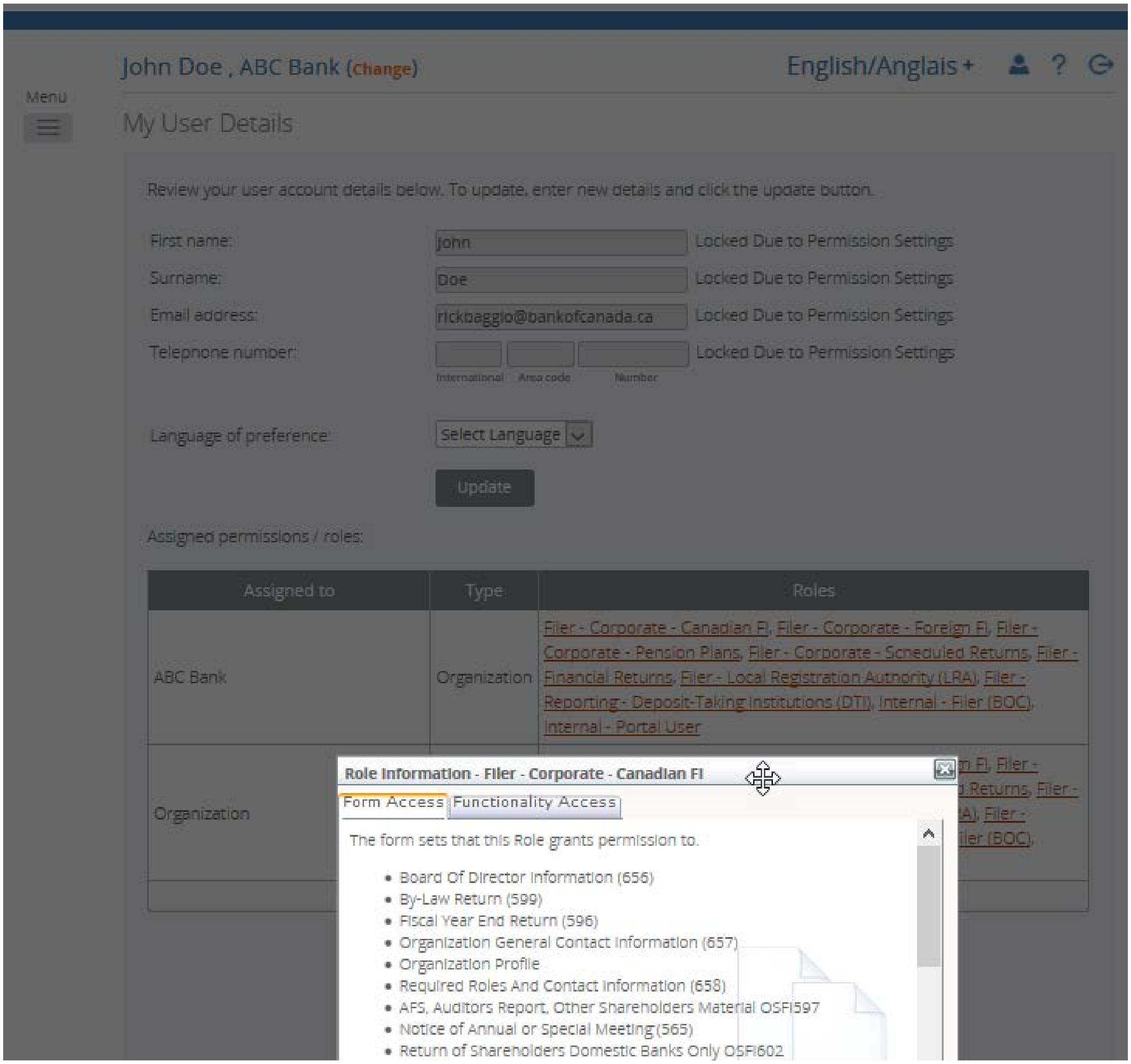


Figure 7-2: My Details Tabs Page

To change your password:

1. Hover your mouse over Menu select **My Details**.
2. Click the **Update My Password** sub-menu item.

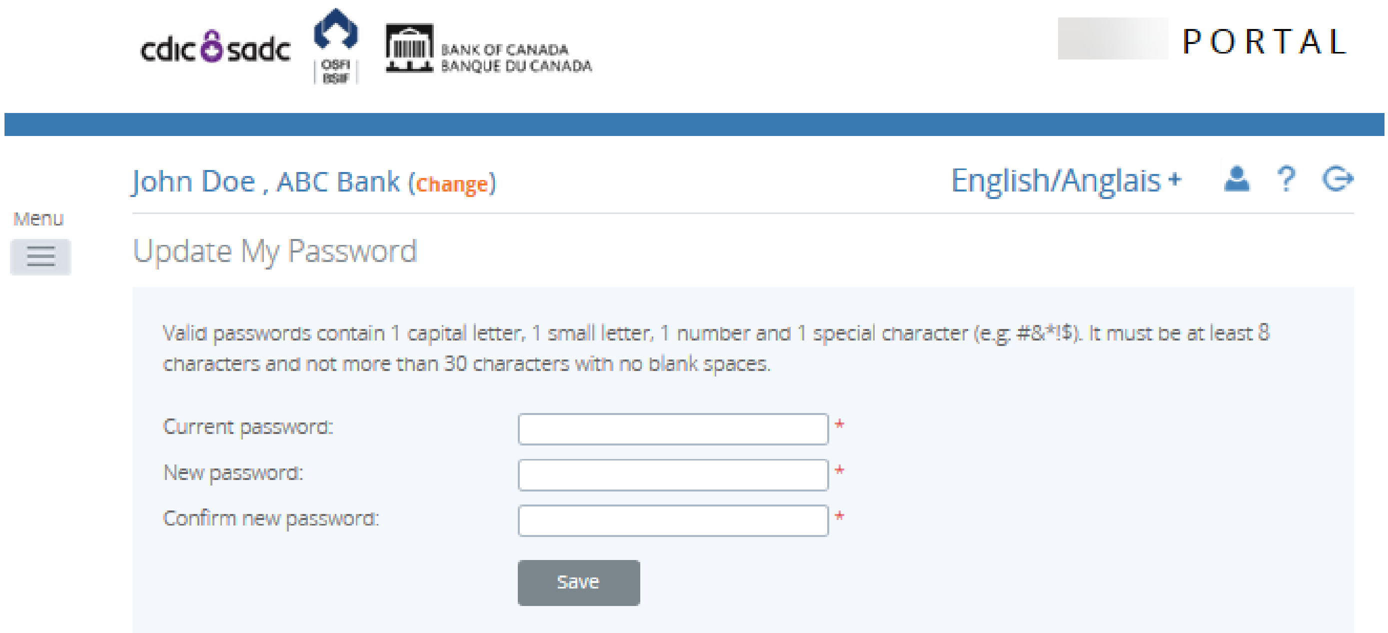


Figure 7-3: Update My Password Page

3. In the **Current password** field, enter your current password.
4. In the **New password** field, enter a new password.

	Valid passwords:
	Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.

5. In the **Confirm new password** field, re-enter your new password.
6. Click **Save**.

8.0 Managing Notifications

Notifications provide information such as when a return is ready to be completed as well as when a return presents an error. Notifications can be viewed and deleted from the Welcome page accessed through the Home menu item.

To view a notification:

1. Hover your mouse over Menu and select the **Home** menu item. The notifications display.

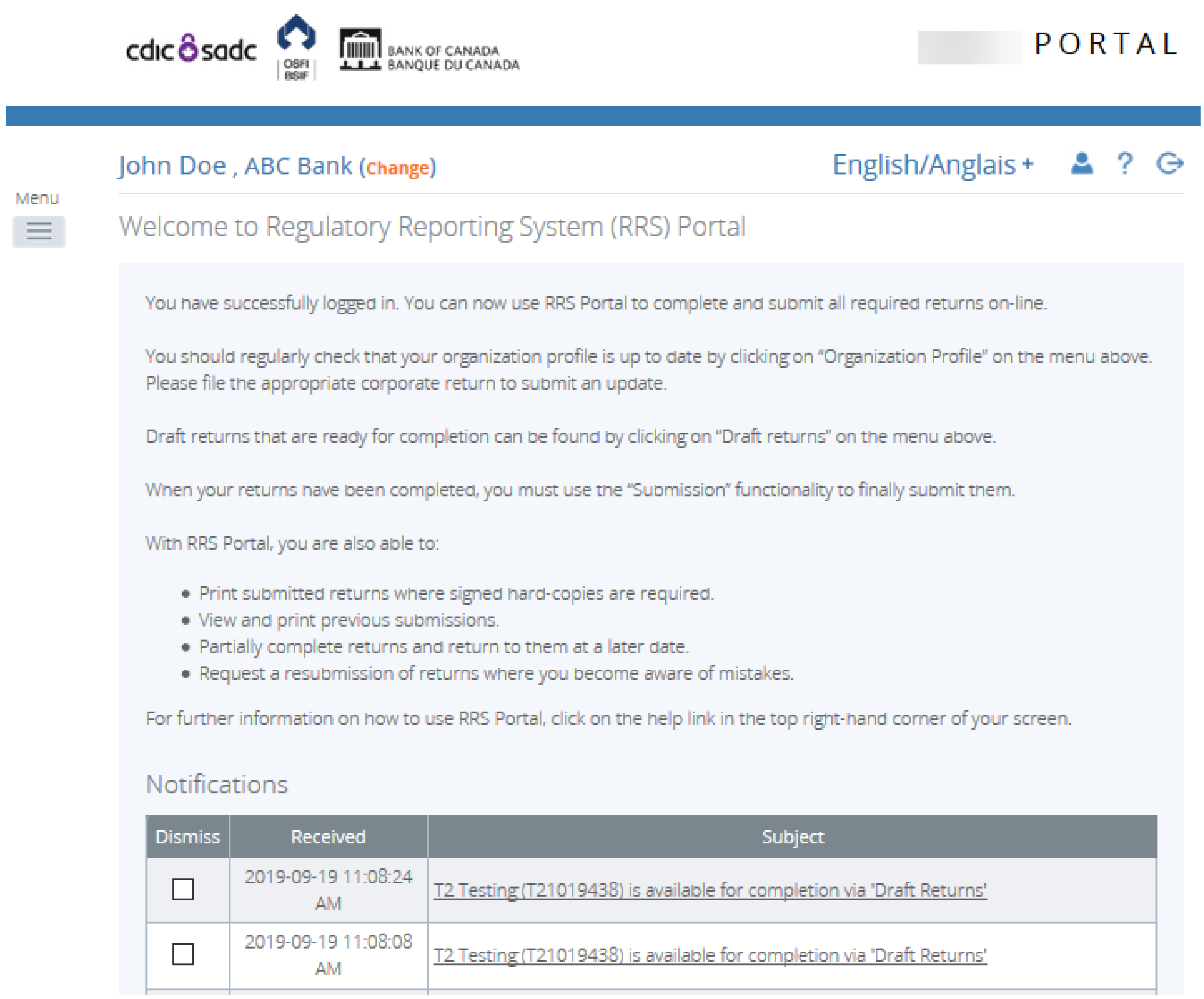


Figure 8-1: Help Page

2. In the **Subject** column, view the notification information.

To delete a notification:

1. In the **Dismiss** column, click the check box associated with the notification to be deleted.
   The notification is deleted.

9.0 Accessing Help

Help text is available on all topics within RRS.

To access RRS Help:

1. Click the **Help** link located within the Menu dropdown. The Help text displays.

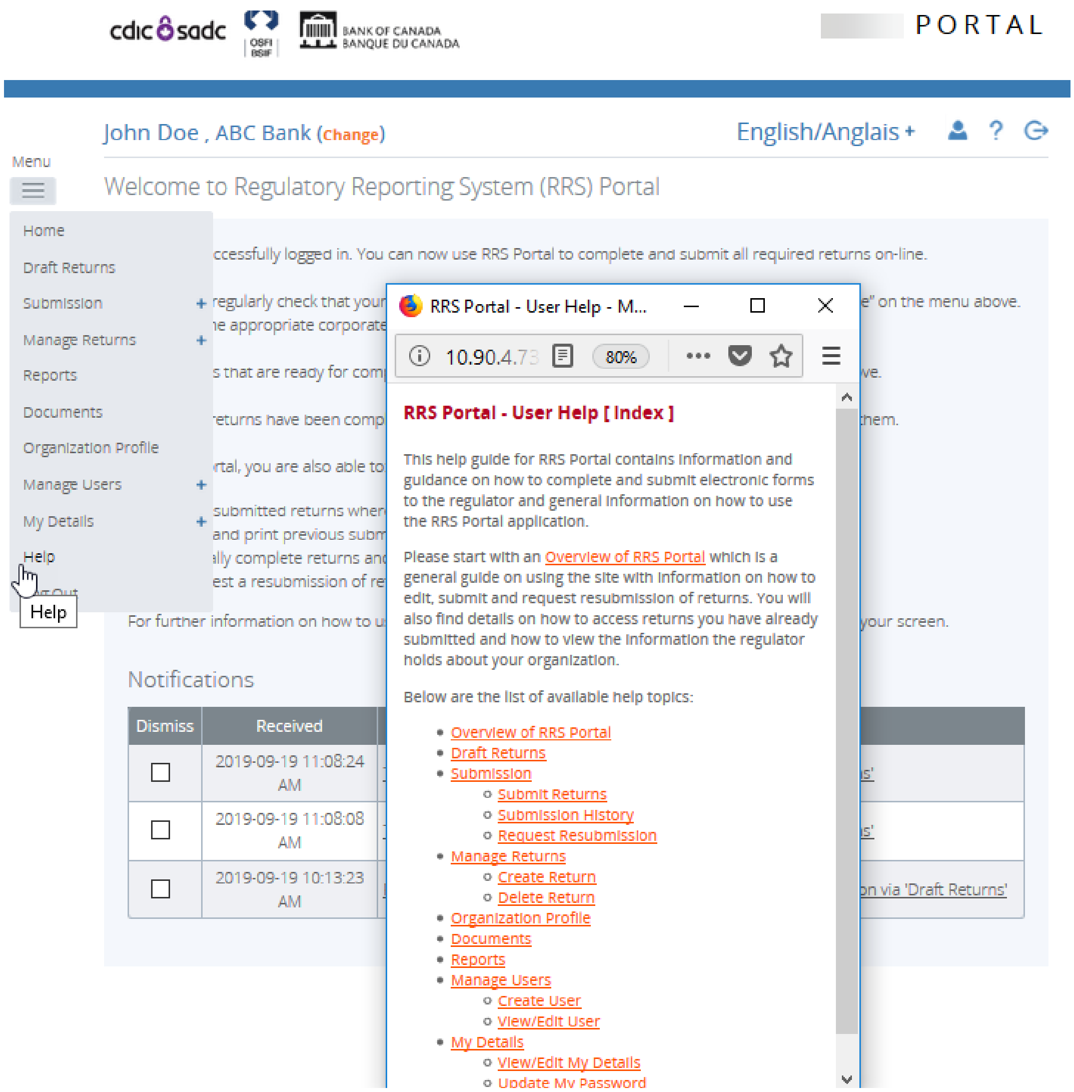


Figure 9-1: Help Page

	Other help options:
	1. The Documents menu item provides additional reference and training documents. 2. To receive more help with RRS you can contact your organization's LRA or contact the Bank of Canada at 1-855-865-8636.

10.0 Logout

RRS provides the ability to logout of your current session.

To logout of RRS:

1. Click the **Logout** link located on the top right of the application. A window displays asking if you are sure you want to logout.
2. Click **OK**. The login page displays.

10.1 Inactivity Logout

Each RRS session is set to logout automatically after two hours of inactivity.

	If you are logged out due to inactivity:
	RRS does not automatically save your work. It also does not return you to what you were working on when the forced logout occurred. It is important to save your work often.

11.0 Tips, Tricks and Troubleshooting

11.1 Saving Your Work

It is important to remember to save your work often. As stated in *Section 11.1 Inactivity Logout*, each RRS session is set to logout automatically after two hours of inactivity. If you are logged out due to inactivity, RRS does not return you to what you were working on prior to the forced logout.

11.2 Microsoft Excel

You can save a return in Microsoft Excel format by using the Excel button on the Draft Return page. This button enables a return to be saved to a specified area outside of RRS.

11.3 Two Users Working on the Same Return

It is possible to have more than one user working on the same return within RRS. Note that RRS does not inform you when another user is working on the same return. Two separate scenarios are described below; both scenarios involve two users, User 1 and User 2, accessing the same return at the same time.

Scenario 1 – Validate & Save: User 1 clicks the Validate & Save button on the return and the data is saved at version 1.1. Then User 2 clicks the Validate & Save button and also saves the return, overwriting the data saved by User 1 and updating the revision of the return to 2.1. In this circumstance, the data in the return saved last is the return data RRS displays as the most current.

Scenario 2 - Submit: User 1 successfully submits the return. User 2 attempts to submit the return but receives an access denied message as this return has already been submitted by User 1.

	View Audit Log:
	To determine who worked on a specific revision of a return, use the View Audit Log feature as described in *Section 3.2 How to View a Return*.

11.4 Printing Returns

To print a return, use the Excel icon on the Draft Return page to open the return in Microsoft Excel format then use the print feature in Microsoft Excel.

12.0 Glossary

Term/Acronym	Definition/Description
BoC	Bank of Canada
CDIC	Canada Deposit Insurance Corporation
CY	Calendar Year
Enhanced Authentication	A security requirement that applies to accessing RRS through the BoC Connect
Filer	A user associated with a financial institution who files returns.
FI	Financial Institution
FRFI	Federally Regulated Financial Institution
FY	Fiscal Year
FYE	Fiscal Year End
LRA	Local Registration Authority
Organization	An element describing financial institutions or partner agencies.
OSFI	Office of the Superintendent of Financial Institutions
PDF	Portable Document Format
Portal	*See* RRS Portal
QE	Quarter End
Return	A collection of information that Filers or their representatives are required to submit to one or more Tri-agency partners
Return schedule	The calendar of return submissions which can or must be filed, specifying the filing periods and frequency of submissions.
RRS	Regulatory Reporting System
RRS Portal	A web application used to submit and view returns
RRS Supervision Centre	A web application used to create and manage returns, users, organizations and reports for Tri-agency only.
Status	Indicates the state a return is in, e.g., “In Draft”
Structural rule	The formatting and layout of a return submission
Supervision Centre	*See* RRS Supervision Centre
Tri-agency	A group made up of the Bank of Canada, the Office of the Superintendent of Financial Institutions and the Canada Deposit Insurance Corporation.
User	Any person who uses RRS with any level of privileges
User role	Gives a user access to specific features and functions.
Validation error	A message that displays the error that caused the validation process to fail. Users must correct the error to

Term/Acronym	Definition/Description
	continue.
Validation rule	A rule used during the validation process, expressed as an equation.
Web form	An on-screen or online display of a return.
Workstation	A computer used to access the BoC Connect and the RRS application.
YE	Year End