



Instructions for Submitting Disciplinary Actions to the FNMRA

The FNMRA will need to receive from you an excel file with the following fields:

Last name

First name

Other Full Name(s)

State/Province

license/registration number

initial year of licensure/registration in your jurisdiction

date of final disciplinary action* (year)

license/registration status (active, inactive, revoked, suspended, restricted)

link to online records at your website (links to actual documents if available, or license search)

*final disciplinary action= final public notice of disciplinary action taken against an ND

We would like information as far back as you have records.

We have attached an excel file to this email. The file is an example of what information we are asking you to submit.

Initially, we will not be reporting what disciplinary action was taken or why the ND was being disciplined. This information will still reside with the jurisdiction that has taken the action. We are simply indicating that a disciplinary action has taken place in one or more jurisdictions. It will be up to the investigating party to contact the appropriate jurisdiction to gather further information.

Once the list is compiled, it will be accessible only to regulators on the FNMRA website. It will not be publicly posted by the FNMRA. Although the list will not be at the highest level of online security, the information on the list would be public information anyway. As each North American jurisdiction reports to us, the list will become more complete. This may become a tool to help you in determining a course of action when considering discipline in the future.

In the future we plan to make the list more complete, and to include access to the final actions taken in any jurisdiction. Eventually, the list will become a highly secured online database with more complete information and search capabilities.