## Designation for Receipt of Web CRD® Firm E-Mail Notifications

FINRA has implemented a mechanism in Web CRD that enables member firms to elect to receive e-mail notifications whenever certain conditions occur. These notifications are sent to a specific individual that the firm designates. FINRA recognizes the importance of our member firms' efforts to ensure compliance with registration-related requirements; therefore, as a service to firms, FINRA, as part of the New Member Application process, will set up the firm to receive five important registration-related e-mail notifications to a firm-designated contact when any of the following conditions occurs:

1. An individual who is registered with a broker-dealer firm has a registration that becomes "Inactive Prints."
2. An individual registered with the firm enters the firm's Temporary Registration Cancellation Queue.
3. A registered individual with a broker/dealer firm is within 30 days of the end of his/her Continuing Education (CE) Required window.
4. A registered individual with a broker/dealer is within 90 days of the end of his/her CE Required window.
5. A registered individual with a broker/dealer firm enters the Firm CE Inactive Queue.

To avoid unnecessary delays in the approval of your membership application, please provide the information requested on the attached Member Firm E-Mail Notification Contact Form and return this form, along with the other forms in your New Member Application Kit.

Once entitled to Web CRD, member firms can add any additional e-mail notifications they wish to receive, and update contact persons and/or e-mail addresses, or customize receipt of the e-mail notifications. Detailed instructions regarding Firm Notifications and how to set up receipt of them via the NFI-Organization functionality in Web CRD are located in the Firm Notification Navigation Guide, which can be found on the FINRA Web site at *http://www.finra.org/web/groups/reg_systems/documents/regulatory_systems/p005285.pdf*

# Member Firm E-Mail Notification Contact Form

***Please complete and return this form with your New Member Application.***

**Contact Designation For Receipt Of Web CRD® E-Mail Notifications**

**FIRM NAME:** ______________________________________________________

**FIRM CRD #:** _________________
(To be completed by FINRA)

Please designate one individual in your firm to receive the following five important registration-related Web CRD e-mail notifications. **Once entitled, you may customize the contact person(s) and address(es), as appropriate for your firm, using Web CRD.**

*Notify the firm when*

1. An individual who is registered with a broker/dealer firm has a registration that becomes "Inactive Prints."
2. An individual registered with the firm enters the firm's Temporary Registration Cancellation Queue.
3. A registered individual with a broker/dealer firm is within 30 days of the end of his/her Continuing Education (CE) Required window.
4. A registered individual with a broker/dealer is within 90 days of the end of his/her CE Required window.
5. A registered individual with a broker/dealer firm enters the Firm CE Inactive Queue.

**Please select one of the following options:**

[ ] Send firm e-mail notifications to the individual my firm has designated as its Primary Web CRD Account Administrator listed on the FINRA Account Administrator Entitlement Form (AAEF). The AAEF is the form that firms must complete in order to be granted access to Web CRD, and is also included in the New Member Kit.

[ ] Send the firm e-mail notifications to the following individual:

E-MAIL ADDRESS: ____________________________________________

CONTACT NAME: ____________________________________________

CONTACT PHONE NUMBER: ___________________________________