

NASD Notice to Members 99-36

Members Reminded To Report Executive Representative And Address Changes

Suggested Routing

- ☒ Senior Management
- ☐ Advertising
- ☐ Continuing Education
- ☐ Corporate Finance
- ☒ Executive Representatives
- ☐ Government Securities
- ☐ Institutional
- ☐ Insurance
- ☐ Internal Audit
- ☒ Legal & Compliance
- ☐ Municipal
- ☐ Mutual Fund
- ☐ Operations
- ☐ Options
- ☐ Registered Representatives
- ☒ Registration
- ☐ Research
- ☐ Syndicate
- ☐ Systems
- ☐ Trading
- ☐ Training
- ☐ Variable Contracts

Executive Summary

The Office of the Corporate Secretary would like to remind members of the importance of updating Executive Representative information, as well as mailing addresses for main offices and branch offices.

The National Association of Securities Dealers, Inc. (NASD®) By-Laws require each member to appoint and certify to the NASD one "Executive Representative." The Executive Representative of a member firm must be a registered principal and a senior manager within the firm. The individual designated as the Executive Representative will represent, vote, and act in all NASD affairs.

Please note that Executive Representative information must now be updated via the Internet. Making certain that the Central Registration Depository (CRDSM) is updated with changes in address and contact people, ensures that member mailings, e.g., voting information, will be properly directed. The procedures for changing Executive Representative information are as follows:

Go to the NASD Regulation, Inc. (NASD Regulation®) Web Site (www.nasdr.com) and make appropriate changes on the NASD Member Firm Contact Questionnaire Web page (go to the "Members Check Here" section and click on "Contact

Questionnaire" or go directly to www.nasdr.com/2695.htm). You will need your User ID and password to access the Contact Questionnaire. (User IDs and passwords were distributed to members in a mailing earlier this year. Contact the CRD/PD Gateway Phone Center at (301) 869-6699 if you have a problem with your User ID or password or in updating the information.)

To change the address for mailings sent to both main offices and branch offices, or to update the contact name, a properly executed Schedule E of Form BD must be sent to CRD. Notifications submitted on U.S. Post Office address change cards cannot be processed. The Form BD is available at the following Web page: www.nasdr.com/3420d.htm

Please note that given the new procedures, the NASD **will not accept** any changes submitted in print form, such as the Executive Representative Form that was included with *Notice to Members 98-53*.

Questions concerning this *Notice* may be directed to Joan C. Conley, Senior Vice President and Corporate Secretary, Office of the Corporate Secretary, at (202) 728-8381.

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