

# NASD National Exam Program Web Information Request (Web IR) Job Aid



**Web Information Request (Web IR)** is part of an on-going NASD effort to increase the automation and integration of examination processes and products for Member Firms. Instead of collecting firm pre-examination data through hard copy, data will now be collected via a Web-based process. Each firm is required to complete the Web Information Request (Web IR) form at the time of its routine cycle exam, this will be your firm's second submission to the NASD for this examination.

Prior to your firm's routine cycle examination, your NASD District Office Examiner will contact you. At that time, the Examiner will advise you of your scheduled examination date, and will confirm that your firm has completed an NASD Member Firm Web Information Request Account Administration Entitlement Form (AAEF) and the NASD Entitlement Agreement Form (NEA) in order to access the Web Information Request login page.

Initial account setup requires a member firm to submit an Entitlement Form, with original signature. Entitlement Forms can be found on the NASD Web Site at: [www.nasd.com/entitlement](https://www.nasd.com/entitlement). The Entitlement Forms requires a firm to designate a primary and an alternate account administrator. Once the Entitlement Forms are processed, NASD will contact the Account Administrator with the user names and passwords of the firm's users who need access to Web Information Request.

## Steps to Login to WEB IR

**Step 1: Access the Web Information Request Site:**  
<https://forms.nasd.com/nep>

**Step 2: Enter the Required Login Information**

- 2.1 Enter your user ID in the **User ID** field (provided by the NASD Entitlement Group).
- 2.2 Enter your password in the **Password** field (provided by the NASD Entitlement Group).
- 2.3 Read and accept the NASD Terms & Conditions.
- 2.4 Click the **I Agree** button to login.

The clarity of the screen shots are better when the Job Aid is printed.

Welcome to Web Information Request

User ID:  
Password:

By clicking the button below, I certify that I have read and understand all of the terms of the NASD Entitlement Program Agreement and Terms of Use and intend to form a binding agreement with the NASD on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

I Agree I Disagree

**NASD Terms & Conditions**  
NASD Entitlement Program  
Agreement and Terms of Use  
1. Agreement  
This NASD ENTITLEMENT PROGRAM Agreement and Terms of Use ("Agreement" or "NASD Entitlement Program Terms of Use") is an agreement between National Association of Securities Dealers, Inc. ("NASD") and each person or entity that establishes an NASD ENTITLEMENT PROGRAM account or accesses the applications, materials or services available on or through the NASD ENTITLEMENT PROGRAMsm Web Site (referred to herein as a "Subscriber," "You" or "Your"). The NASD ENTITLEMENT PROGRAMsm Web Site is offered and operated by NASD on the World Wide Web of the Internet. The NASD ENTITLEMENT PROGRAM system offers various on-

If you are experiencing any difficulties logging into the system, please contact your Account Administrator for assistance. If you are an Account Administrator, contact the Gateway Call Center for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites *after* successfully logging in.

- Questions about navigating the Web IR form or process may be directed to NASD's Gateway Call Center at 1-800-321-NASD.
- Questions about content should be directed to your District Office.

# NASD National Exam Program

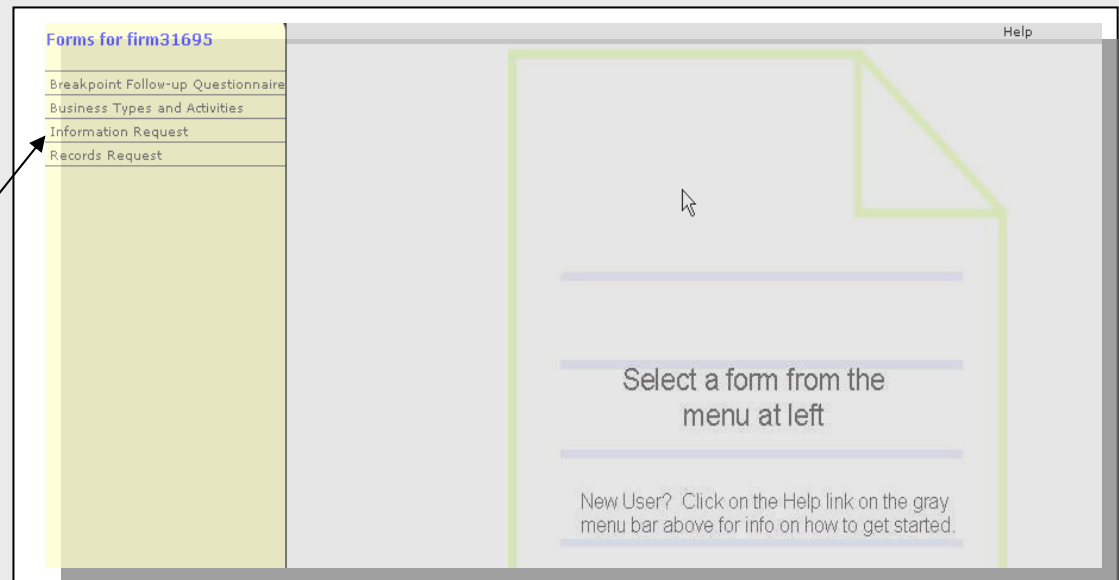
## Web Information Request (Web IR) Job Aid



### Step 3: Viewing Forms in the Form Filing Cabinet

**3.1** The Form Filing Cabinet allows users to manage the various forms they submit to NASD. A user can browse through the various forms that they have access to. For each form, you may look at the various form instances that have either been submitted in the past or are in progress at the moment.

**3.2** Select the **Information Request (Web IR)** form by clicking on the form name.



The **Information Request (Web IR)** is used by member firms to provide information to NASD examiners about member firm operations. Examiners use the information captured through the Web IR to help develop the scope of an examination.

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## Description of the Web IR

The **Last Update** column displays the most recent date and time the form was modified.

The **Description** column displays the name of the form and the date the form was created. If you hover over the description text, a link will appear which will open the form upon clicking.

**Information Request**

The Information Request is used by member firms to provide information to NASD examiners about member firm operations. Examiners use the information captured through the Information Request to help develop the scope of an examination.

Page 1 of 1

Last Update	Description	Status	Action
5/10/2005 3:22:42 PM	Information Request for exam E4444444 created on 5/6/05 11:52:56 AM.	Submitted	
5/10/2005 3:09:54 PM	Information Request for exam E3333333 created on 5/6/05 11:52:53 AM.	InProgress	
5/6/2005 11:52:27 AM	Information Request for exam E2222222 created on 5/6/05 11:52:24 AM.	Published	

The **Status** column displays the condition of the specified information. There are three status types:

- **Published** – the form has been submitted by the examiner to the member firm; however, the firm has not opened/viewed the form.
- **In Progress** – the NASD examiner has submitted the form electronically to the member firm. The member firm is working on the form, but has not submitted to form.
- **Submitted** – the member firm has completed the form and electronically submitted it to NASD.  
**NOTE:** Once the form has been submitted, the member firm no longer has access to it.

The **Action** column displays the actions that can be preformed. There are two action types:

- Opens the form in read only mode.
- Allows the firm to edit the form.

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## Steps to Review/Update the Web IR Form

### Step 4: Completing the Web IR Form

#### 4.1 Use the **Web Information**

**Request Form** to confirm and update firm data. Users should complete, review and submit information in this section.

This updated information will be used by the NASD examiner to determine the scope of the exam.

The screenshot displays the 'Information Request' form interface. At the top, there is a green header with the title 'Information Request' and a small 'NASD' logo on the right. Below the header is a dark blue bar labeled 'Form Controls' containing a 'View' dropdown menu set to 'All Sections', and buttons for 'Print', 'Show/Hide Comments', 'Save', and 'Review and Submit'. A mouse cursor is positioned over the 'Review and Submit' button. Below this bar is another dark blue bar labeled 'Validation Summary' with a warning message: 'Please note that after 2 hours of inactivity your Web IR session will terminate automatically. At termination your data will be saved, but we encourage you to save your entries at regular intervals.' Underneath is a third dark blue bar labeled 'Types of Business'. Below this bar is a list of business types with a table structure. The first row is a header with two columns: '% of business' and 'Business Type'. The first data row shows an empty input box for the percentage and the text 'Exchange member engaged in exchange commission business other than floor activities'.

% of business	Business Type
<input type="text"/>	Exchange member engaged in exchange commission business other than floor activities

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## Steps to Review/Update the Web IR (continued)

4.2 Complete all sections.

4.3 Select the **Show/Hide Comments** button to view or hide comments.

You may enter comments in the **Comments** field if you want to provide further explanation for your response(s).

The screenshot shows the top portion of the Web IR form. At the top is a blue bar labeled 'Form Controls' containing buttons for 'Print', 'Show/Hide Comments', 'Save', and 'Review and Submit'. Below this is a 'View' dropdown menu currently set to 'All Sections', with a list of sections including 'All Sections', 'Types of Business', 'Firm Ownership/Structure', 'Financials', 'Types of Accounts and Transactions', 'Institutional Customers', 'Sales Incentives and Differential Payouts', 'Books and Records', 'Communications with the Public', 'Settlement Agreement/Customer Grievances', and 'Firm Personnel'. Below the dropdown is a 'Validation Summary' section with a warning: 'Hours of inactivity your Web IR session will terminate automatically. At termination, you will be required to log out and re-enter your information at regular intervals.' Below that is a 'Types of Business' section with a table for recording business types.

The screenshot shows a 'Comment' field with a text area and a 'Save' button. Below it is a section titled '3. Record the approximate percentage of your firm's business based on revenue.' with a table:

	Principal	Riskless Principal	Agency
Retail	30		
Broker-Dealer	45		
Institutional	21		

Below the table is another 'Comment' field with a text area and a 'Save' button.

4.4 Click the **Print** button to print a hard-copy of the form for your records **before** submitting it to NASD.

4.5 Click the **Save** button to save the information you have entered.

**NOTE:** You may save information and continue to enter changes on the form later. However, once you submit the form, no changes can be made. If you find errors after submittal, please contact your examiner.

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## Steps to Review/Update the Web IR Form *(continued)*

**4.6** After you complete all sections of the form, click the **Review and Submit** button. Clicking the Review and Submit button takes the user to a Review page. The user can **Print**, **Submit**, or **Edit** from the Review page.

The screenshot shows a portion of the Web IR form. At the top, there is a blue header bar labeled "Form Controls". Below this bar, there is a "view" dropdown menu set to "All Sections", followed by buttons for "Print", "Show/Hide Comments", "Save", and "Review and Submit". Below the "Form Controls" bar is another blue header bar labeled "Validation Summary". Underneath, a message reads: "Please note that after 2 hours of inactivity your Web IR session will terminate automatically. At termination you to save your entries at regular intervals." Below this is another blue header bar labeled "Types of Business". Underneath, there is a question: "1. Your firm indicated it engages in the business checked below. For each, please indicate the approximate percentage of". Below the question is a table with two columns: "% of business" and "Business Type". The first row shows an empty input box under "% of business" and the text "Exchange member engaged in exchange commission business other than floor activities" under "Business Type".

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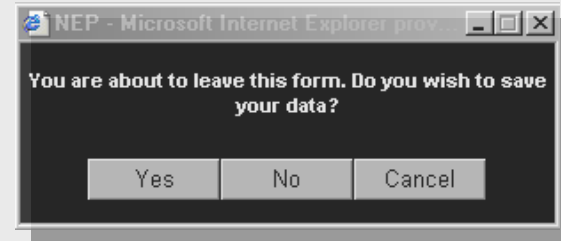
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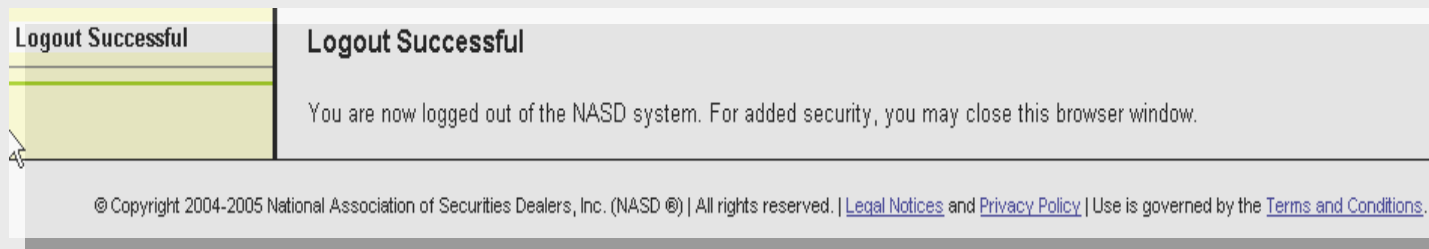
## TIPS

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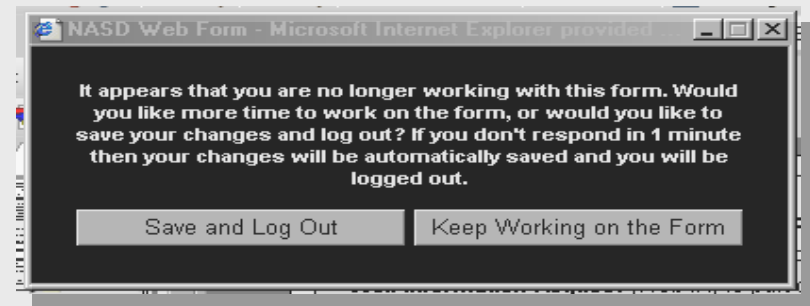
- Please be sure to **Save** your data prior to exiting the form.



- You will receive the following message when you manually logout of the application.



- You will receive the following message after 2 hours of inactivity in the application. The system will automatically **SAVE** any data that has been entered if you don't respond to this message and you will be logged out.



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**TIPS** *(continued)*

- Make sure your firm submits the NASD Member Firm Web Information Request Account Administration Entitlement Form (AAEF) and the NASD Member Firm Entitlement Agreement (NEA) Form.
- NASD Entitlement Forms can be found at: [www.nasd.com/entitlement](http://www.nasd.com/entitlement)
- Allow 3-5 business days for processing of the form.
- Web IR passwords expire every 120 days. When your password expires, you will be prompted to change it. If you forget your password, you must contact your Account Administrator. Account Administrators must contact NASD's Gateway Call Center at 1-800-321- NASD to reset a forgotten password, and unlock an account.
- Print a copy of the completed form for your records prior to submission to NASD.
- For additional Web IR information: [http://www.nasd.com/web?idcplg?IdcService=SS\\_GET\\_PAGE&nodeId=380](http://www.nasd.com/web?idcplg?IdcService=SS_GET_PAGE&nodeId=380)

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