

**INFORMATIONAL**

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**Notices to Members**

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**Annual Checklist Of  
NASD Notices to  
Members****SUGGESTED ROUTING**

*The Suggested Routing function is meant to aid the reader of this document. Each NASD member firm should consider the appropriate distribution in the context of its own organizational structure.*

- Corporate Finance
- Legal & Compliance
- Municipal/Government Securities
- Operations
- Senior Management
- Trading & Market Making

**KEY TOPICS**

- *Notices to Members*

The National Association of Securities Dealers, Inc. (NASD®) published the following *Notices to Members* during 1999. Copies are available for \$25 per monthly or special issue. A two-volume, bound and indexed edition of the entire year's *Notices* will be available in late January 2000 for \$100. To order, send a check or money order—payable to the National Association of Securities Dealers, Inc.—to NASD MediaSource<sup>SM</sup>, P.O. Box 9403, Gaithersburg, MD 20898-9403. Credit card (American Express, MasterCard, or Visa) orders can be processed over the phone by calling (301) 590-6142, Monday through Friday, 9 a.m. to 5 p.m., Eastern Time.

The 1999 *Notices to Members* are also available on the NASD Regulation, Inc. (NASD Regulation<sup>SM</sup>) Web Site, [www.nasdr.com](http://www.nasdr.com).

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