Issuer Company-Related Action Notification Form and ADR Company-Related Action Notification Form

Instructions for Completion and Submission

Effective March 14, 2011, the Issuer Company-Related Action Notification Form will be available through a new electronic notification system. As of this date, FINRA will no longer accept paper, email or facsimile copies of this form. The electronic notification system will allow payment by credit card or ACH. To submit a company-related action through the electronic notification system click on Issuer Company-Related Action. Please note, new users will need to click the "Register Now" hyperlink located in the upper right-hand side of the login screen to receive a User Name and Password.

1. Select the "Issuer Company-Related Action Notification Form" option located on the left-hand side menu.
2. New users should select Begin New Form. Returning users may select either Begin New Form or Templates. Template is a feature that allows a submitter to save a form with information that will not change over time. For example, if a quarterly dividend is provided to FINRA, the company can enter as much of the information as it wishes and click on the Convert to Template button to save the information as a template. Multiple templates can be created and saved with different names. When the firm selects that template, all the information saved will be populated and only new information needs to be entered prior to submission (i.e. record date, payment date, and dividend amount). Forms that are started but not completed or submitted will be saved as a Draft and may be used and submitted at a future date by the user.
3. Complete all required fields in the Company Information, Contact Information, Company Officers and Directors, and Transfer Agency Contact Information sections. All communications regarding this form will be addressed to the specified contact person in the Contact Information section of the form**.**
4. In the Transaction Options section, select all company-related action options that apply. If "Other" option is selected, provide all pertinent details of the company-related action.
5. In the Required Documentation section, attachments can be uploaded directly to the appropriate link.
6. Upon completion of the form, a review screen will be displayed that will allow the submitter to review the information entered, make any appropriate changes, and view, as well as submit payment for, any applicable fees. Payments can be submitted via credit card or ACH (from checking accounts only).

For questions regarding the form, please contact FINRA Operations at (866) 776-0800, Option 1.

For questions relating to setting up an account or logging in, please contact the FINRA Call Center at 301-590-6500.