



ADR Company-Related Action Notification Form

Instructions for Completion and Submission

Effective March 14, 2011, the ADR 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. To submit a company-related action through the electronic notification system click on [ADR Company-Related Action](#).

1. Select the “ADR Company-Related Action Notification Form” option located on left-hand side menu.
2. For new users, select Begin New Form. For returning users, select 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 Depositary Bank Information and ADR Security Information sections. All communications regarding this form will be addressed to the specified contact person in the Depositary Bank Information section of the ADR Company-Related Action Notification Form.
4. The Transaction Options section contains the most frequently submitted company-related actions. If your company cannot find a corresponding action, please select “Other” option and provide the details of the action.
5. Attachments can be uploaded directly in the Additional Information section.
6. Upon completion of the form, a review screen will be displayed that will allow the submitter to review the information entered and make any appropriate changes prior to submission.

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.