

REPORT SUBMISSION GUIDELINES FROM YOUR DEA

General Guidelines:

- (1) Each broker/dealer firm must file separately.
- (2) Unsigned reports will not be accepted.
- (3) Do not write explanatory notes on any report page. Reports received with any extraneous notes on the pages will be returned, and the reports must be resubmitted.
- (4) Dates must be entered into the spaces provided in the month/day/year format: MM/DD/YYYY.
- (5) The CRD number must be that of the broker/dealer firm responding.
- (6) The address must be your principal place of business and not a Post Office Box number.
- (7) Responses in which short answers are prompted (e.g., “[] Other (Please specify) _____”) should not extend beyond the line provided.
- (8) Reports are to be signed by those authorized to sign FOCUS reports.
- (9) Reports submitted to the DEA must be preserved in your files in accordance with 17a-3 and 4 (3 years).
- (10) The following identification information must be placed at the top of each page of each part: a) Firm Name, b) Firm Address, c) SEC File Number, d) CRD Number, e) Report Date check-mark [August 31, 1998], and f) Submission Date.
- (11) A Year 2000 Glossary is enclosed for reference.
- (12) The original report and two copies must be mailed to the Securities and Exchange Commission, 450 Fifth Street, N.W., Mail Stop A-2, Washington, D.C. 20549.
- (13) One copy must be mailed to Lyn Kelly, Year 2000 Program Office, NASD Regulation, Inc., 15201 Diamondback Drive, Rockville, MD 20850, ATTN: Report-BD-Y2K. (A reply envelope is provided for your convenience.) Completed reports may be faxed to Lyn Kelly, Year 2000 Program Office, NASD Regulation, Inc., 15201 Diamondback Drive, Rockville, MD 20850. The fax number is (301) 590-6187. If the report is faxed, please retain a copy of the confirmation sheet indicating successful fax transmission.
- (14) Completed reports must be mailed together (if you are required to submit Parts I and II) received at the SEC and DEA by close of business on August 31, 1998.

Guidelines for Part I

- (1) Place a check-mark in the box next to the “Report for” date (August 31, 1998).
- (2) Enter the date the report is submitted in the space provided for Report Filing Date.
- (3) In Question 3(b), the person primarily responsible for the project will be the person your DEA will contact for questions about the firm’s Year 2000 program or plan.

Guidelines for Part II

- (1) Responses for the narrative response to Part II must be typed. Any reporting format is acceptable, provided that each question and any subsection is clearly labeled. Every page of the narrative must have a page number, the firm name, SEC file number, and CRD number.
- (2) The following identification information must be placed at the top of the first page of the narrative report: a) Firm Name, b) Firm Address, c) SEC File Number, d) CRD Number, e) Report Date [August 31, 1998], and f) Submission Date.
- (3) If you are mailing Part II separately from Part I, include a cover page in both mailings.