

For Your Information

Update to Web CRD Firm Notification Functionality

NASD, as part of its continuing efforts to assist member firms in fulfilling their compliance and registration-related requirements, is introducing an expanded e-mail notification service to all firms beginning August 22. The e-mail notifications, which are listed below, are intended to assist firms in identifying (1) material changes to a registered person's registration status and (2) critical dates relating to a registered person's CE requirements. NASD recognizes the significance of our member firms' efforts to ensure compliance with registration-related requirements; therefore, as an expanded service to all firms, beginning on August 22, NASD will automatically send the following five e-mail notifications to firm-designated contacts as the conditions occur:

- ◆ Notify when an individual's registration is Inactive Prints with the Firm-BD Only
- ◆ Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
- ◆ Notify when a registered individual is within 30 days of the end of his or her CE Required window – BD Only
- ◆ Notify when a registered individual is within 90 days of the end of his or her CE Required window – BD Only
- ◆ Notify when a registered individual enters Firm CE Inactive Queue – BD Only

In order to ensure that these important e-mails are directed appropriately, NASD requests that all firms select and supply contact information for the five e-mail notifications. Detailed instructions on how to access the selection screens and supply new and/or updated e-mail address information for the receipt of Firm Notifications can be found at: http://www.nasdr.com/pdf-text/webcrd_nav_firmnot.pdf.

continued

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Key Dates:

Monday, July 22

- ▶ 16 Firm Notifications available for firms to elect to receive. NASD is asking firms to select, at minimum, the 5 notifications listed in this article.
- ▶ Firms may choose to have one individual at the firm receive all of the e-mails selected, or, as of this date, firms can input a different e-mail address for each Firm Notification it selects.

Wednesday, August 14

- ▶ Deadline for member firms to select and input the appropriate e-mail address(es) for the five e-mail notifications listed.

Thursday, August 22

- ▶ On behalf of firms that do not input contact information by this date, NASD will run a script to automatically select the five e-mail notifications listed in this article and designate the firm's Primary Account Administrator as the recipient for all.
- ▶ If NASD does not have a Primary Account Administrator's e-mail address on file for a firm, the e-mail address of the firm's Executive Representative will be used, and he/she will then automatically receive those five e-mail notifications as the conditions occur.

Questions

If you have any questions regarding Firm Notifications, please contact the Gateway Call Center at 301-869-6699.