

For Your Information

Regulation Form Filing: New Firm Contacts Screen

Regulation Form Filing is a Web-based system for various applications used by member firms to report regulatory information to NASD Regulation. The applications include: FOCUS, Blue Sheets, Customer Complaints, Reg T/15c3-3 Extension Requests, and Short Interest Reporting.

Form Filing Account Administrators will be responsible for providing and maintaining the new Firm Contacts fields with the most current and accurate information.

This information is necessary in the event that an application's designated person needs to be notified of any system problems or for verification of information that was submitted by the member firm. The Form Filing contact information needs to be provided for each of the following systems, where applicable:

- Blue Sheets
- 3070 Customer Complaints
- FOCUS
- INSITE Firm Data Filing
- Market Volatility
- Reg-T & 15c3-3
- Shorts

The name, title, address, telephone number, fax number, and e-mail address for the firm's designated primary and secondary contacts should be provided for each application. In addition, in order to enable NASD Regulation to process Blue Sheets data requests in a timely manner, member firms should also provide and/or update the Blue Sheets contact information via e-mail to the Market Regulation Department at *bluesheets@nasd.com*.

For further information or if you have questions about the Web-based form filing regulation applications, call (800) 321-NASD, or send an e-mail to: *nasdregfiling@nasd.com*.