

## ACTION REQUIRED

# PORTAL- Designated Equity Securities Directory

## SEC Approves PORTAL Rule Amendments

## SUGGESTED ROUTING

*The Suggested Routing function is meant to aid the reader of this document. Each NASD member firm should consider the appropriate distribution in the context of its own organizational structure.*

- Executive Representative
- Operations
- Trading & Market Making

## KEY TOPICS

- ACT
- PORTAL

## Executive Summary

Nasdaq® is publishing a list of PORTAL®-designated equity securities for the reporting requirements of PORTAL equity transactions that will be effective on June 16, 2001.

On March 6, 2001, the Securities and Exchange Commission (SEC) approved amendments to the rules of The PORTAL Market (PORTAL Rules) to require that National Association of Securities Dealers, Inc. (NASD® or Association) members submit trade reports of secondary market transactions in PORTAL-designated equity securities through the Automated Confirmation Transaction Service® (ACT).

## Reporting Requirements

Transactions in PORTAL-designated equity securities are to be reported through the Automated Confirmation Transaction Service (ACT) pursuant to the ACT Rules in the NASD Rule 6100 Series.

## Questions/Further Information

Additional information regarding trade reporting may be obtained by contacting Nasdaq MarketWatch at (800) 211-4953.

## Accessing The Automated Symbol Directory

In addition to this *Notice*, PORTAL-designated equity symbols can also be found by using the OTCBB automated directory. For additional assistance, users can call the Help Desk at (203) 378-0166.

## To access the automated directory from the Nasdaq

## Workstation IITM pull-down menu:

- Select InfoServices.
- Select Directories.

## To obtain a symbol when you know the security name:

- Select Search By: Security Name.
- Select Security Types: ALL OTC.
- Type the security name (the full name or just the first letter or letters) in the Search For: box.
- Click on the Search button.

## To obtain a security name when you know the security symbol:

- Select Search By: Security Symbol.
- Select Security Types: ALL OTC.
- Type the security symbol (the full symbol or just the first letter or letters) in the Search For: box.
- Click on the Search button.

See Attachment A of this *Notice* for a list of all PORTAL-designated equity securities and associated dates.

Any subsequent changes to this list (additions, deletions, symbol changes, and reorganizations) will be published daily on [www.otcbb.com](http://www.otcbb.com). To access this information from the OTCBB Web Site:

- Click on Daily List
- Click on Other/OTC Portal Daily List under "Related Items"
- Either View or Download current list

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## **NASD Notice to Members 01-41**

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