

INFORMATIONAL

Continuing Education

Web CRD E-Mail Notifications Regarding Regulatory Element Requirements And Notifications Of CE Inactive Registered Persons

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.

- Continuing Education
- Legal & Compliance
- Registration Department
- Senior Management

KEY TOPICS

- CE Inactive Individuals
- E-Mail Notifications
- Regulatory Element Requirement Windows

Executive Summary

NASD Regulation, Inc. announces a new feature in the *Firm Notification* section of Web CRDSM. Firms can now request an automatic e-mail reminder from Web CRD whenever a registered representative at the firm has 90 days remaining in his or her 120-day Regulatory Element requirement window. Firms request this e-mail reminder by logging on to the *Firm Notification* section of Web CRD (see steps below) and selecting the 90-day CE notification option from the list of available e-mail notifications that Web CRD will send firms. Notification of persons with 90 days remaining in their Regulatory Element window provides firms with yet another tool to help them monitor their registered persons' compliance with Regulatory Element requirements. Firms are reminded to consult *NASD Notice to Members 01-07* for a complete explanation of the CE Queues and other CE e-mail notifications available from Web CRD.

Firms are also reminded that the e-mail notifications that Web CRD sends to firms notifying them of registered persons who go inactive for failing to satisfy their Regulatory Element requirements within 120 days, do not get sent for new hires at the firm. To learn of new hires who are inactive, firms must view the queue *Current Individual Deficiencies* and select *CE Inactive* from the deficiencies list.

Questions/Further Information

Questions concerning this *Notice* may be directed to Heather Bevans, Continuing Education, NASD Regulation, Inc., at (240) 386-4685, or Matthew Swyndle, Continuing Education, NASD Regulation, Inc., at (240) 386-4686.

Discussion

Following are steps to request the e-mail notifications.

1. E-Mail Notifications of Registered Persons with 90 Days Remaining in their Regulatory Element Requirement Windows

Members can now request that the Web CRD system send an e-mail notification to the firm whenever a registered person has not satisfied his or her Regulatory Element requirement within the first 30 days of his or her 120-day requirement window.

To request this e-mail notification:

1. Logon to Web CRD and go to the *CRD Main* tab.
 2. Under the *Organization* column of the Site Map, click on *NFI Organization Search*.
 3. Click on *Firm Notification* on the Navigation Panel at the left of the screen, or on the footer at the bottom of the screen.
- NOTE:** If you do not see *Firm Notification* on the Navigation Panel, you may not have authorization for this function. Please contact your firm's Web CRD Account Administrator.
4. Enter the e-mail address to which the Web CRD system should send the notification, and the contact's name and phone number.
 5. Check the fourth box indicating you would like to receive e-mail notices when registered individuals have 90 days remaining to complete the Regulatory Element.
 6. Click on *Save*.

**2. Web CRD E-Mail
Notifications of CE Inactive
Persons**

The e-mail notifications of CE Inactive individuals do not include new hires. Web CRD categorizes CE Inactive new hires as "Deficient-CE". To view these individuals, firms must access their Registration Queues. To do this, click on the Registrations Queue, then Current Individual Deficiencies, and select CE Inactive from the deficiencies list. Always be sure to check the CE status and requirement windows for all new hires.

© 2001, National Association of Securities
Dealers, Inc. (NASD). All rights reserved.