

INFORMATIONAL

Web-Based Regulatory Applications

NASD Regulation To Launch Additional Form Filing Regulatory Applications

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 Representatives
- Legal & Compliance
- Operations
- Senior Management
- Systems

KEY TOPICS

- Forms/Electronic Filing

Executive Summary

NASD Regulation, Inc. (NASD RegulationSM) will deploy the following four additional Web-Based Form Filing Regulatory Applications to National Association of Securities Dealers, Inc. (NASD[®]) members during the first quarter of 2000.

- Bluesheets (NASD Procedural Rules 8210, 8211, and 8213);
- Customer Complaints (NASD Conduct Rule 3070);
- Reg T/15c3-3 Extension Requests; and
- Shorts Interest Reporting (NASD Conduct Rule 3360).

These regulatory applications will allow firms to use the same entitlement user account and password used to access Web-Based FOCUS—the first of the form filing applications launched a few months ago. Like Web-Based FOCUS, firms will no longer need to load software or file via Sprint Telenet or the Securities Industry Automation Corporation (SIAC), but instead can access all of the form filing applications with one Internet address:

<https://regulationformfiling.nasdr.com>.

Firms must use these new Web-Based applications beginning first quarter of 2000. The old filing methods will no longer be available.

Questions/Further Information

For further information or if you have questions about the new Web-Based form filing applications, call (800) 321-NASD, or send an e-mail to:

nasdregformfiling@nasd.com.

Questions And Answers About The New Web-Based Applications***Who would be required to file using these form filing applications?***

If your firm is designated to NASD Regulation for regulatory oversight, then your firm is required to file Customer Complaints, RegT/15c3-3 Extension Requests, and Shorts Interest Reporting to the NASD utilizing these applications. The Bluesheets application can be used by all NASD members that receive Bluesheet requests from the NASD pursuant to NASD Procedural Rules 8210, 8211, and 8213.

How do I prepare for the new form filing regulatory applications?

Your firm must be entitled to use any of the new form filing regulatory applications. Contact your firm's Web-Based FOCUS Account Administrator to request the additional entitlements. The Account Administrator—that would have been identified through the Web-Based FOCUS entitlement process—can request additional user entitlements online via the Entitlement Administration Tool of the Web-Based FOCUS application.

What if I am a Web-Based FOCUS Account Administrator and will also be the Account Administrator for the other new form filing regulatory applications?

The firm must submit a Regulation Applications Administrator Entitlement Form for *each Account Administrator* that is requesting additional entitlement privileges.

NASD Notice to Members 99-101

What if my firm would like to have a separate Account Administrator for each form filing application?

The member firm has the option to appoint separate Account Administrators for each application. It is recommended that each Account Administrator have a backup or alternate. For new Account Administrators, firms must

submit a Regulation Applications User Accounts Acknowledgment Form (UAAF) and Regulation Applications Administrator Entitlement Form. Firms should have received copies of these forms from NASD Regulation during the Web-Based FOCUS entitlement process. If you need another copy of these forms, call (800) 321-NASD, or send an e-mail to nasdregformfiling@nasd.com.

Are the system requirements for these new applications different than for Web-Based FOCUS ?

The system requirements for form filing regulatory applications are the same as Web-Based FOCUS.

See below for system requirements.

System Requirements

Minimum Client Required

Hardware:	Pentium x90MHz 16MB
Operating System:	Windows 95 Windows NT 4.0
Modem:	28.8KB
Web Browser:	Internet Explorer 4.01 SP2 Netscape 4.05
Web Browser Specifics:	Javascript enabled (this is usually the default setting)*
Screen Resolution:	800 x 600

Recommended Client

Hardware:	Pentium x133MHz 32MB
Operating System:	Windows 95 / 98 Windows NT 4.0
Modem:	56KB
Web Browser:	Internet Explorer 4.01 SP2 Netscape 4.05
Web Browser Specifics:	Javascript enabled (this is usually the default setting)*
Screen Resolution:	1024 x 768

* The system will not function without Javascript enabled.

© 1999, National Association of Securities Dealers, Inc. (NASD). All rights reserved. Notices to Members attempt to present information to readers in a format that is easily understandable. However, please be aware that, in case of any misunderstanding, the rule language prevails.