

**ACTION REQUIRED BY
APRIL 30, 2000**

Member Contact Information Update

NASD Members Must
Update Firm Contact
Information Via The
NASD Regulation Web
Site By **April 30, 2000**

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
- Registered Representatives
- Senior Management

KEY TOPICS

- Members/Contact Information

Executive Summary

National Association of Securities Dealers, Inc. (NASD®) member firms must update their Member Firm Contact Questionnaire (NMFCQ or Contact Questionnaire) located on the NASD Regulation Web Site (www.nasdr.com) to include the name and e-mail address of the member firm's Executive Representative by April 30, 2000. Members that have updated the Contact Questionnaire since January 1, 2000, do not need to complete this mandatory update. However, members that don't have any changes to their 1999 Contact Questionnaires must still complete this update by verifying that information through the NASDR Web Site.

Questions/Further Information

Additional information on the NMFCQ is located on the NASD Regulation, Inc. (NASD RegulationSM) Web Site at www.nasdr.com/2695.htm. Questions concerning this *Notice* may be directed to the CRD/PD Gateway Call Center, at (301) 869-6699; or to Bruce Spates, Assistant Director, Internet and Investor Education, NASD Regulation, at (301) 721-1149.

Background

As published in *NASD Notice to Members 98-77* (September 1998), amendments to Article IV, Section 3 of the NASD By-Laws, which took effect January 1, 1999, require members to: (1) obtain an Internet e-mail account and Internet access for their Executive Representative; and (2) update their firm's contact information via the NASD Regulation Web Site (www.nasdr.com) to include the Executive Representative's e-mail address.

Also discussed in *Notice to Members 98-77* were changes to the distribution of key NASD Regulation publications. Effective January 1, 1999, the primary means of distribution of *NASD Notices to Members* and the *Regulatory & Compliance Alert* is in electronic form via the NASD Regulation Web Site. Members are advised that the schedule for posting the monthly *NASD Notices to Members* to the Web Site will be on or about the 10th of each month. Once Executive Representatives have updated their Contact Questionnaire to include their Internet e-mail address, NASD Regulation will provide e-mail notification of new *Notices* and other updates posted to the Web Site.

Since the complimentary print distribution of these publications terminated in January 1999, member firms that wish to continue to receive the printed versions may subscribe by contacting NASD MediaSourceSM at (301) 590-6142. Each Executive Representative will be eligible for one subscription to *Notices to Members* and/or the *Regulatory & Compliance Alert* at cost, *i.e.*, \$15 per year.

While members may choose to rely on the printed *NASD Notices to Members*, it does not relieve them of the requirement for the Executive Representative to maintain an Internet e-mail account on behalf of the firm, and to update the firm's Contact Questionnaire via the NASD Regulation Web Site by April 30, 2000.

Updating Procedures

Members that previously updated the Contact Questionnaire should utilize their existing NMFCQ User ID and Password to access and update the Questionnaire. New

NASD Notice to Members 00-14

members should receive a User ID and Password as a result of completing the membership application process. Members that may have forgotten or misplaced their NMFCQ access information should request assistance by sending an e-mail to wnmfcq@nasd.com which includes the name of the person entitled to access the Contact Questionnaire, firm name, and Broker/Dealer CRD Number. As mentioned above,

members that have updated the Contact Questionnaire since January 1, 2000, do not need to complete this mandatory update. However, members that don't have any changes to their 1999 Contact Questionnaires must still complete this update by verifying that information through the NASDR Web Site.

Members are reminded that the Chief Executive Officer and

designated firm NASD Executive Representative must be members of senior management and registered principals with the specific member for which the update is being made.

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