

For Your Information

Staff Relocations

Over the next several months, some NASD Regulation, Inc. (NASD RegulationSM) and National Association of Securities Dealers, Inc. (NASD[®]) staff will be moving from Washington, D.C. to a new location in Rockville, Maryland. The move will be conducted in a staggered fashion beginning early July, with completion expected in the fall of this year. This relocation plan affects over 1,300 employees and contractors in the Washington and Rockville areas.

Please note that most phone and fax numbers for these departments/staff will change; however, we plan to retain a voice mail message at the old number providing callers with the new phone number for a period of 60 days.

Departments that will be moving include Advertising Regulation, Corporate Financing, Continuing Education, Testing and Qualifications, CRD/Public Disclosure, Market Regulation, Business Program Services, and some Member Regulation staff.

Please refer to the NASD Regulation Web Site (www.nasdr.com) for more details as they become available. NASD Regulation will also be sending information via e-mail broadcasts to NASD Executive Representatives during the course of the moves, as needed and appropriate. And, if you are unable to locate someone given the options above, please call the Gateway Call Center at (301) 590-6500.

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