

# NASD NOTICE TO MEMBERS 97-20

## Members Reminded To Report Executive Representative And Address Changes

### Suggested Routing

- ☒ Senior Management
- ☐ Advertising
- ☐ Corporate Finance
- ☐ Government Securities
- ☐ Institutional
- ☐ Internal Audit
- ☒ Legal & Compliance
- ☐ Municipal
- ☐ Mutual Fund
- ☐ Operations
- ☐ Options
- ☒ Registration
- ☐ Research
- ☐ Syndicate
- ☐ Systems
- ☐ Trading
- ☐ Training

### Executive Summary

The Office of the Corporate Secretary would like to remind members of the importance of keeping the names of Executive Representatives, as well as mailing addresses for branch offices, up-to-date. Making certain that the Central Registration Depository<sup>SM</sup> (CRD<sup>SM</sup>) is kept informed of changes in address and contact people, ensures that regular Notices and special mailings will be directed properly.

The NASD<sup>®</sup> By-Laws requires each member to appoint and certify to the NASD one “executive representative.” The Executive Representative of your firm must be a registered principal and a senior manager within the firm. The individual designated will represent, vote, and act in all NASD affairs, and will receive NASD mailings, including *Notices to Members*, *Regulatory & Compliance Alert*, and updates to the *NASD Manual*.

To change the address for mailings sent to *branch offices*, or to update the contact name, a properly executed Schedule E of Form BD must be sent to CRD. Notifications submitted on U.S. Post Office address change cards **cannot** be processed.

To change the Executive Representative of your firm, you must submit written notification to the NASD Corporate Secretary. The form to use for this purpose is included with this Notice. You may submit the original or a photocopy to:

Joan Conley  
Corporate Secretary  
National Association of  
Securities Dealers, Inc.  
c/o Membership Department  
1390 Piccard Drive  
Rockville, MD 20850.

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## EXECUTIVE REPRESENTATIVE FORM

Date: \_\_\_\_\_

NASD Member Firm: \_\_\_\_\_

Firm CRD #: \_\_\_\_\_

The NASD Member Firm referenced above designates (name) \_\_\_\_\_,  
CRD # \_\_\_\_\_, as *Executive Representative* to the NASD as of  
(date) \_\_\_\_\_. This person is a member of the firm's senior management and is a registered  
principal with the firm.

Name of person preparing this form: \_\_\_\_\_

Telephone number: \_\_\_\_\_

**Return this form to:**

Joan Conley, Corporate Secretary  
Executive Representative Program  
c/o Membership Department  
National Association of Securities Dealers, Inc.  
1390 Piccard Drive  
Rockville, MD 20850