OMB APPROVAL

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| Page 1 o   | f 3  | SECURITIES AND EXCHANGE COMMISSION<br>WASHINGTON, D.C. 20549<br>Form 19b-4 |                |             |                            |   | File No. SR - 2005 - 030 Amendment No. 1 |   |
|--|--|--|----------------|-------------|----------------------------|---|--|---|
| Proposed Rule Change by National Association of Securities Dealers  Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934   |  |  |                |             |                            |   |  |   |
| Initial  | Amendment 🗸  | Withdrawal   | Section 19(b   | )(2)        | Section 19                 |   | Section 19(b)(3)(B)                      | _ |
| Pilot  | Extension of Time Period for Commission Action   | Date Expires   |                |             | 19b-4(f)(1)<br>19b-4(f)(2) | <ul><li>19b-4(f)(4)</li><li>19b-4(f)(5)</li><li>19b-4(f)(6)</li></ul> |  |   |
| Exhibit 2 Sent As Paper Document Exhibit 3 Sent As Paper Document  |  |  |                |             |                            |   |  |   |
| Contact Information  Provide the name, telephone number and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the proposed rule change.  First Name Shirley  Last Name Weiss                        |  |  |                |             |                            |   |  |   |
| Title  | Associate General Co   | Last Name  | weiss          |             |                            |   |  |   |
| E-mail   |  |  |                |             |                            |   |  |   |
| Telepho  | (202) 728-8844   | Fax (202) 728-8264   | 4              |             |                            |   |  |   |
| Signature  Pursuant to the requirements of the Securities Exchange Act of 1934,  has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.  Date 05/12/2005  By Patrice M. Gliniecki Senior Vice President and Deputy General Counsel |  |  |                |             |                            |   |  |   |
| БУ   | (Name)   |  | Senior Vice Pi | esident and | d Deputy Ge                | neral Counsel   |  |   |
| this form.   | licking the button at right will digit  A digital signature is as legally b, , and once signed, this form cannot | oinding as a physical  |                | `           | Title)                     |   |  |   |

## SECURITIES AND EXCHANGE COMMISSION WASHINGTON, D.C. 20549 For complete Form 19b-4 instructions please refer to the EFFS website. The self-regulatory organization must provide all required information, presented in a Form 19b-4 Information clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the Remove proposal is consistent with the Act and applicable rules and regulations under the Act. The Notice section of this Form 19b-4 must comply with the guidelines for **Exhibit 1 - Notice of Proposed Rule Change** publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register Add Remove (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3) Copies of notices, written comments, transcripts, other communications. If such Exhibit 2 - Notices, Written Comments. documents cannot be filed electronically in accordance with Instruction F, they shall **Transcripts, Other Communications** be filed in accordance with Instruction G. Add Remove View Exhibit Sent As Paper Document Exhibit 3 - Form, Report, or Questionnaire Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is Add Remove View referred to by the proposed rule change. Exhibit Sent As Paper Document The full text shall be marked, in any convenient manner, to indicate additions to and **Exhibit 4 - Marked Copies** deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which Add Remove View it has been working. The self-regulatory organization may choose to attach as Exhibit 5 proposed **Exhibit 5 - Proposed Rule Text** changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be Add Remove View considered part of the proposed rule change. If the self-regulatory organization is amending only part of the text of a lengthy **Partial Amendment** proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if Add Remove View the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

On March 11, 2005, NASD filed SR-NASD-2005-030 to adopt a Uniform Branch Office Registration Form ("Form BR") and to make conforming changes and technical revisions to the Uniform Application for Securities Industry Registration or Transfer ("Form U4") and the Uniform Termination Notice for Securities Industry Registration ("Form U5").

NASD is filing this partial Amendment No. 1 for the purpose of requesting that the Commission make the following two changes:

(1) NASD is adding the words "NASD anticipates that" to the first sentence of the second paragraph of footnote 1 on page 4 and footnote 1 on page 23 of 227 pages. Accordingly, please substitute the following paragraph for the second paragraph of footnote 1 on page 4 and footnote 1 on page 23 (new language is underlined):

With the implementation of the Form BR, <u>NASD anticipates that</u> the SEC will eliminate Schedule E from Form BD, and the NYSE will retire the current NYSE Branch Office Application. Connecticut, Florida, Nevada, and Vermont also have indicated that they plan to retire their respective forms and adopt the Form BR. Other jurisdictions that currently require "notice filings" for branch openings and closings have indicated that they also expect to adopt the Form BR.

(2) NASD is adding an explanation of new specific instructions to the Form U4 and Form U5. Please add the following to footnote 11 on page 12 and footnote 13 on page 31 of 227 pages (new language is underlined):

In addition, the instructions on the Form U4 with respect to submitting fingerprint cards have been modified to describe the radio button representations. New instructions on the Form U5 explain the circumstances under which the office of employment address will be prepopulated.