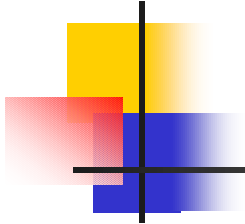


- All checks should be made payable to NASD.
- The IA Firm's CRD number and the word "Renewals" should be included in the memo section of the check.
- A copy of the first page of the Preliminary Renewal Statement should also be included with your payment.



Overnight/Express Delivery

NASD, CRD/IARD

W8705

c/o Mellon Bank, RM. 3490

701 Market Street

Philadelphia, PA 19106

Telephone Number Ref.: (240) 386-4848 (IA Only Firm)

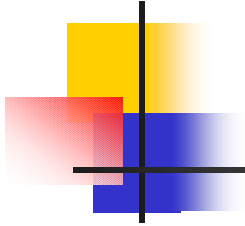
(301) 590-6500 (BD/IA Firm)

or (301) 869-6699



Transfer Payment from Daily to Renewal Account

- Firms that have funds available in their Daily Account may contact the Gateway Call Center to have funds transferred to the firm's Renewal Account.
- The full amount due on the Renewal Statement **must** be available in a firm's Daily Account to initiate a transfer.
- IA Only Firms should call the IARD Hotline at 240-386-4848.
- BD/IA Firms should call the Gateway Call Center at 301-590-6500 or 301-869-6699.



To verify that payment has been received by NASD and credited to your **Renewal Account**, please check the **Deposit Detail** in the **Accounting Section** under **Renewal Statement** on the Web CRD/IARD Site Map.

CRDMain	Forms	Individual	Organization	Accounting
User Info	Blank Form	View Individual	View Org	Daily Account
Blank Forms	Blank U4 Form	Individual Search	Organization Search	Processed Transactions
Broadcast Messages	U4 Instructions	Disclosure Only Individual Search	Organization Queues	Funds Deficient Transactions
Terms and Conditions	Blank U5 Form	Non-Filing Info	Current Deficiencies	Account Activity Summary
FAQ	U5 Instructions	NFI Individual Search	SFG Retirement	Deposit Detail
Release Notes	Blank BD Form	IARD Transition Registration Search	Withdrawal or Termination	Transfer Detail
Recommended Hardware/Software	Blank BDW Form	Firm Queues	Queue Totals	Transaction Detail
Send Comments	U4 Form	Continuing Education	Non-Filing Info	Bill Line Search
Admin Tools	Create New U4 Filing	Approaching CE Requirement	NFI Organization Search	Renewal Account
Change Password	Initial	CE 2-Year Termed	Mass Transfer	<u>Renewal Statement</u>
	Amendment	CE Inactive	Mass Transfers List	Account Activity Summary
	Concurrence	CE Satisfied		Deposit Detail
	Page 2 Amendment for Schedule A/B			Transfer Detail
	Page 2 Initial for			Transaction Detail

Deposit Detail Search Screen

Web CRD
Central Registration
Depository

CRD Main Forms Individual Organization **Accounting** Notifications Reports

LOG OFF Web IARD

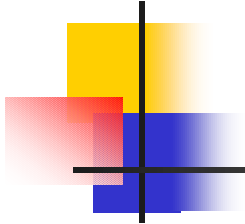
Daily Account **Renewal Account** Bill Line

Quick Search

Deposit Detail

Renewal Statement	CRD Number :	
Renewal Statement	Organization Name:	
Renewal Account Information	Account Status:	Deficient
Account Activity Summary	Balance:	\$0.00
Deposit Detail	Balance As Of:	7/3/2002 9:58:55 AM
Transfer Detail	Amount Assessed:	\$4,063,368.00
Transaction Detail	Search Parameters:	
Bill Line Search	Account Type: Renewal	From Post Date: 10/03/2002
Override	Organization CRD #: 18718	Thru Post Date: 11/03/2002
Override History		
Underride History		

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Please Note: NASD Members (BD/IA Firms) will be assessed a RENEWAL PAYMENT LATE FEE if payment is NOT received by December 6, 2004. The Late Fee will be included as part of the firm's Final Renewal Statement and will be calculated as follows:

10% of a Member Firm's cumulative Final Renewal Assessment or \$100, whichever is greater, with a cap of \$5,000.



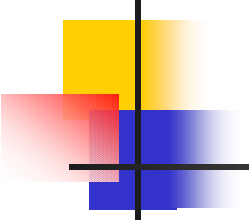
Sole Proprietorship Fees

- **Some states grant a RA fee waiver if the firm is organized as a Sole Proprietorship. (Some States do not require RA filings for sole proprietorships.)**
- **Web CRD Renewals coding allows for this “Renewal Fee” waiver. This means that the state RA Renewal Fee should be reflected correctly on the preliminary and final renewal statements of the firm, based on your State’s Statutes or Rule regarding RA fees or waiver.**



Step Four

4) Reconcile Firm's Records with the Web CRD/IARD Firm "Preliminary" Renewal Report

- 
-
- The Firm Renewal Report (applicable to Investment Adviser and Broker/Dealer Firms) lists all individuals included in Renewal processing and includes Billing Codes. You should check this report to verify that all of your individuals who should be renewed for 2005 are included in this report. Please contact the jurisdictions in which you have found discrepancies.
 - The Firm's "Preliminary" Renewal Report will become available to view on **November 8, 2004.**



Firm Renewal Report – Sorted by Regulator

CRD® or IARD(SM) System

Renewals - Firm Renewal Report

CRD® or IARD(SM) System Report provided to: NASD

Request Submitted: 09/20/2002 Renewal Extract Date: 11/02/2002

Page 8

Organization CRD#: 104516
Organization Name: BISHOPSGATE INVESTMENT COMPANY
Renewal Status:

Regulator: Virginia

Regulator Fees:

AG Fee:	\$30.00
RA Fee:	\$30.00
RA Discount Fee:	\$30.00

Individual Name	CRD Number	Position	Billing Code
DWARF, SNEEZY	4521073	RA	

Total number of individuals for this regulator: 1



The following Broker/Dealer Reports will also become available on November 8, 2004:

NASD Branch Report

- Lists each branch registered with NASD and lists branch offices for which the firm is being assessed a fee.

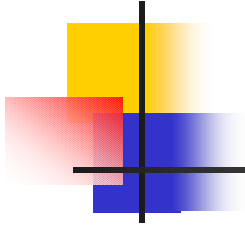
Approved AG Reg Without NASD Approval:

- Lists all individuals who are not registered with NASD but are registered with one or more jurisdictions. This report should be used to determine if any NASD registrations should be requested or jurisdictions terminated.



The following Firm Reports and the Final Renewal Statement will be available on Web CRD/IARD on January 3, 2005:

- Firm Renewal Report: Lists individuals included in Renewal processing and includes Billing Codes. (For B/D and IA Firms)
- NASD Branch Report: (For NASD Firms only): Lists each branch registered with NASD and lists branch offices for which the firm is being assessed a fee.
- Firm “Final Renewal Statement”: Lists re-calculated fees due to additional charges from approved registrations granted after the Preliminary Renewal Statement cut-off in November, 2004 and the subtraction of fees for individuals who were terminated on or before December 31, 2004. See the “Final Renewal Statement” PowerPoint presentation on the NASAA website.



- To view these reports, you will need to be either on the CRD or IARD Site Map.

To log on to the IARD Site Map, type:

<https://www.webiard.com/iad> and Enter. A log-in screen will appear requesting your User ID and Password. Please enter your User ID and Password and Enter. For BD/IA firms, type <https://www.webcrd.com/crdmain>.

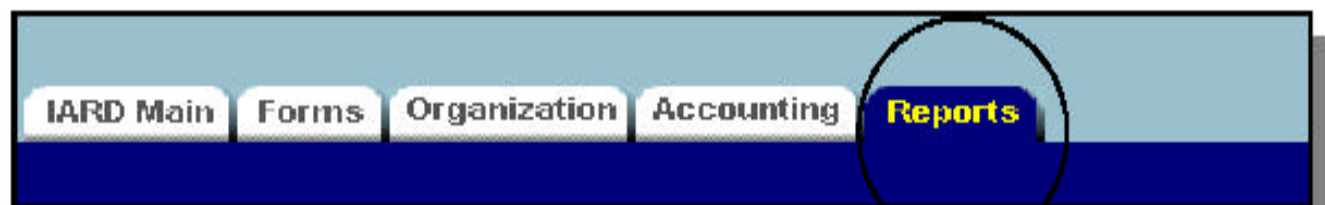
Request Report

1. From the IARD or CRD Site Map, click the **Request Report** hyperlink.



OR

- 1a. Click the **Reports** Tab from the Tool Bar and choose **Request Report** from the Navigation Bar or Footer.



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[Result:] The *Select a Report to Request* screen opens.

Select a Report to Request	
Report Name	Report Description
Accounting – Account Activity – Firms	This report provides monthly account activity details for a firm. Financial data is available for the previous 13 months.
Accounting – Firm Accounting Download	Download of Firm Accounting Information. Financial data is available for the previous 13 months.
Branch – Branches within Firm – Firms	Details of all branches for a Firm.
Branch – Firm Branch Download – Firms	Download of firm and branch data for a specified Firm.
Branch – Schedule E – Firms	List of all Schedule E filings by a firm within a specified date range.
Exam – Reschedule Exam Report	Lists individuals for a firm that need to reschedule an exam.
Exam – Scheduled Exam Queue Download	Download of the Scheduled Exam for the requesting firm
Exam – Scheduled Exam Queue Report	Lists the Scheduled Exam for the requesting firm
Individual – Recent Hires by Firm	Identifies all individuals hired by Firm with the specified date range.
Individual – Transition Status – Firms	List of all individuals with a 'Transition Requested', 'Transition Terminated', or a 'Not Transitioned - Filed in Error' status within a Firm
Individual – Transition Status Download – Firms	List of all individuals with a 'Transition Requested', 'Transition Terminated', or a 'Not Transitioned - Filed in Error' status within a Firm
Individual Transition and No U4 Filed Firms-download	List of individuals that have a status of 'Transitioned' but have not filed a Form U4
Individual Transition and No U4 Filed for Firm	List of all individuals that have a status of 'Transitioned' but have not filed a form U4
Renewals – Branches Renewal Roster	List of all of a firm's branches for renewal purposes.
Renewal – Firm Renewal Download	Download of all individuals who were renewed for the firm.
Renewals – Firm Renewal Roster – Firms	All individuals who were renewed for the firm.
Renewals – Non-NASD Registered Individuals	Report lists individuals who are not registered with the NASD but are with another regulator.
Roster – Individual – Firms	Lists all registered or non-registered Individuals employed by a firm.
Roster – Individual – Firms Download	Download of all registered or non-registered Individuals employed by a firm.
Snapshot – BD Firm	This report provides current information about a firm.
Snapshot – Individual	Comprehensive set of Admin/Disclosure data for a specified individual.

[Result:] The *Enter Parameters to Request: Individual Snapshot* screen opens.

Enter Parameters to Request : Renewals -Firm
Renewal Report

Enter Parameters to Request : Snapshot - Individual

Request by CRD # or SSN: CRD #

Enter Up to 5 Individual CRD # or SSN (Include dashes (-), XXX-XX-XXXX, if SSN selected):

Individual CRD # or SSN	

Include All Sections

Include Personal Information? No

Include All Registrations with Employments: Both Current and Previous Employments

Include All Registrations for Current and/or Previous Employments with: All Regulators

Include Professional Designations? No

Include Employment History? No

Include Other Business? No

Include Exam Information? No

Include Current Reportable Disclosure Information? No

User Initials

Submit Reset

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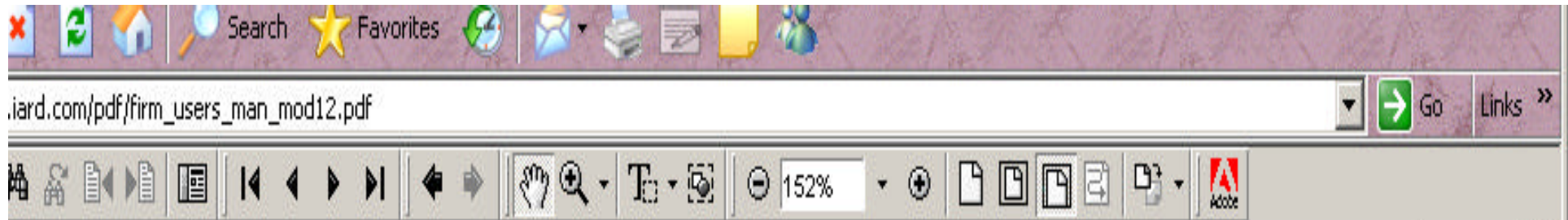


OR

- 1a. Click the **Reports** Tab from the Tool Bar and choose **View Report** from the Navigation Bar or Footer.



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[Result:] The *View Reports* screen opens.

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View Reports

Report Name - Request # - Organization	Report Properties
 Snapshot - IA Firm-200145-00104626	Requested by: KA • Requested on: 05/20/2002 01:40:28 pm; Loaded: 05/20/2002 01:41:20 PM ; Expires: 7 days; Size: 26585 bytes

NOTE: Search for reports by identifying the name and ID # of report in the Report Name-Request #-Organization column and/or request date and user initials in the Report Properties column.

Firm Renewal Report IA State Registered Firm

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CRD® or IARD(SM) System

Renewals - Firm Renewal Report

CRD® or IARD(SM) System Report provided to: NASD

Request Submitted: 09/20/2002 Renewal Extract Date: 11/02/2002 Page 1

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by the NASD, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other

Renewal Notice

For additional information regarding the Annual Renewal Process, Broker/Dealers may visit the NASD web site at www.nasd.com. Investment Adviser Firms may visit the Investment Adviser Registration Depository web site at www.iard.com.

Attention: NASD SFC Firms

Renewals - Firm Renewal Report
CRD® or IARD(SM) System Report provided to: NASD
Request Submitted: 09/20/2002 Renewal Extract Date: 11/02/2002 Page 4

Organization CRD#:
Organization Name:

Renewal Status:

Regulator: District of Columbia

Regulator Fees:

AG Fee:	\$45.00
RA Fee:	\$45.00
RA Discount Fee:	\$45.00

Individual Name	CRD Number	Position	Billing Code
DWARF, SNEEZY	4521073	RA	

Total number of individuals for this regulator: 1

Organization CRD#:
Organization Name:

Renewal Status:

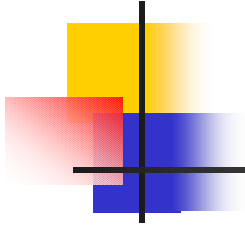
Regulator: Florida

Regulator Fees:

AG Fee:	\$40.00
RA Fee:	\$40.00
RA Discount Fee:	\$40.00

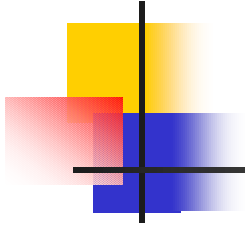
Individual Name	CRD Number	Position	Billing Code
DWARF, SNEEZY	4521073	RA	

Total number of individuals for this regulator: 1



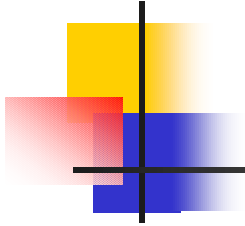
On January 3, 2005 Web CRD/IARD system processing resumes normal operations.

- Firms may begin to request Renewal Reports via Web CRD/IARD. These Reports include the Firm Renewal (Agent) and Branches Renewal Reports (applicable to NASD Members.)
- Final Renewal Statements are available for firms to view.



- February 4, 2005 is the deadline for payment of
- **Final Renewal Statements** and reporting **Renewal Report discrepancies**. The Final Renewal Statement lists re-calculated fees.

- Firms will be charged additional fees for approved registrations granted after the creation of the Preliminary Statement in November. Conversely, fees will be subtracted for individuals who were terminated on or before **December 31, 2004**.



Any fees that have been overpaid to the Renewal Account after payment has been made to the jurisdictions, will be transferred to the firm's Daily Account. **You may request a refund** beginning **January 3, 2005** by calling the IARD Hotline at (240) 386-4848.



Contact Numbers - NASD

IARD Hotline

(240) 386-4848 (IA Only Firms)

Gateway Call Center

(301) 590-6500 or (301) 869-6699 (BD/IA Firms)