

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
General		
<p>Effective April 4, 2020, the minimum browser requirements for Web CRD/IARD and related applications will be updated to the following:</p> <ul style="list-style-type: none"> • Chrome versions 68 or later • Firefox versions 66 or later • Microsoft Edge 16 or later • Safari versions 12 or later 	All	All
Classic CRD		
<p>FINRA, in its capacity as a commercial vendor with SEC, will deploy the Form CRS application. Broker-Dealer firms with retail clients and those dual SEC registrants with no retail advisory clients will be required to upload a relationship summary (Form CRS) to the SEC through this application. The Form CRS application will be accessible through Web CRD and firm users with the ability to submit a Form BD will also be able to file a Form CRS. No new entitlement will be required.</p>	Form CRS	Firms, SEC
<p>Pending SEC approval, a new SRO MEMX will be added to Forms U4, U5, BD & BDW. Once approved, MEMX will recognize the following individual registration categories:</p> <ul style="list-style-type: none"> • General Securities Representative (GS) • General Securities Principal (GP) • General Securities Sales Supervisor (SU) • Financial and Operations Principal (FN) • Compliance Official (CO) • Securities Trader (TD) • Securities Trader Principal (TP) • Securities Trader Compliance Officer (CT) • Market Maker Authorized Trader - Equities (MT) • Canada - Limited General Securities Registered Representative (CD) • Canada - Limited General Securities Registered Representative (CN) • United Kingdom-Limited General Securities Representative (IE) 	U4, U5, BD & BDW	Firms, SROs

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
IARD		
FINRA, in its capacity as a commercial vendor with SEC, will deploy Part 3 of Form ADV. Investment Adviser firms with retail advisory clients and those dual SEC registrants with retail brokerage and advisory clients will be required to upload a relationship summary (Form CRS) to the SEC as part of a Form ADV filing. Firm users with the ability to submit a Form ADV will also be able to file a Part 3 relationship summary filing. No new entitlement will be required.	Form ADV	Firms, SEC
BrokerCheck		
BrokerCheck will display as a PDF on the firm summary profile the most recently filed Form CRS (Relationship Summary).	Firm Profile	Public
IAPD		
IAPD will display as a PDF on the firm summary profile the most recently filed Form ADV Part 3 (Relationship Summary).	Firm Profile	Public