

Web CRDSM Release 4.1 Changes

Changes	User Community
Form Filing/ Registrations - General	
1. Added a Social Security Number option to the U-4, U-5, U-6 and NRF Pending Filing Search Screens.	All
2. Added pop-up text for italicized words in Form Filing.	Firms
3. When selecting the Printer Friendly icon or the browser “Print” button, the system will display the system print box without displaying the information in a second browser window. Only the information in the main window will print.	All
4. The user name in the browser title bar will display when logged into CRD. It will display in the system.	All
5. For all registration requests for affiliates on Amendments where a fingerprint card has not been received, the system will apply an “Approved Pending Prints” status and not a “Deficient” status.	Firms
6. Added RECX fingerprint status to resolve fingerprint deficiencies without charging a firm.	Firms, NASD
7. Fingerprint Exemption evaluation will be done for each affiliated firm and not just for the filing firm.	Firms, NASD
8. The system will not close the firm association when an individual’s last registration is purged.	All
9. Registrations will begin to be purged nightly if the registration has been in a “Deficient” status according to the following timeline: <ul style="list-style-type: none"> • 180 days - Exam Deficiency when the individual does not have a scheduled exam window • 180 days - CE Deficiency • 180 days - Position Deficiency • 90 days - Dual Deficiency • 90 days - Funds Deficiency • 90 days - NASD-FA Deficiency • 90 days - NASD-AR Deficiency 	Firms

<ul style="list-style-type: none"> • 90 days - Fingerprint Deficiency 	
10. If an individual requests the Series 66 Exam, and has not qualified as a GS or requested a GS position, the Series 7 Exam shall not be scheduled. Instead, a S7 "Developed A Need" status shall be added to the individual's record.	Firms
11. The Series 16 Exam Fee has been split into two charges, an NASD Exam fee and an NYSE Development Fee.	SRO, Firms, NASD
12. Anonymous Site "Print Preview" will now display DRP Pages and users will not have to print those pages separately.	Firms
13. The system will be updated with a new begin date when a Pre-Training Period begin date is modified. The exam window is currently adjusted manually.	SRO, Firms
Form U-4	
14. The "Investment Adviser Representative Only Applicant" section is now a hyperlink that opens a second browser with additional fingerprint submission information for investment adviser representatives.	Firms
15. Added the Private Residential Checkbox to the "Affiliated Firms" Employment Address.	Firms
Form U-5	
16. The AMEX Termination Fee will now be charged through the CRD System.	Firms
17. A Page 2 Deficiency will be set when a Schedule A or B person is terminated by a U-5 if the person is still listed on Schedule A or B.	Firms
18. If a firm terminates all RA positions on a Partial Termination (and keeps at least one broker/dealer registration), the system will not withdraw the S65 Exam window.	Firms
19. Removed the "Filter by Filing Type" from the U-5 Pending Filings Search Screen.	Firms
Form U-6	
20. Print Preview will now display the Organization ID Number instead of the BD Number for non registered organizations.	States, NASD, SROs, SEC

21. When searching in Disclosure Organization, the organization name entered will automatically transfer from the “Search” Screen to the “Create New Organization” screen if the firm currently does not exist in CRD.	States, NASD, SROs, SEC
22. Added a hyperlink to “View Individual” on the “U-6 Search Results” screen.	States, NASD, SROs, SEC
Form BD/ADV/BDW	
23. The notary section lines will appear next to each other when printing the BD Initial Screen.	Firms, NASD
24. New option added to the Historical BD Form that will allow a user to view and print all open branches.	Firms
25. A hyperlink has been added to open another browser and display the disciplinary history in CRD when an Investment Adviser provides disclosures and its affiliates submit a DRP for the same disclosure.	Firms
View Individual	
26. Change name on the Navigation Panel to CHRI (Criminal History Record Information).	NASD, SROs, States
27. Eliminate online access to CHRI to conform to current FBI requirements. Employing firms will continue to receive hardcopy fingerprint search results. This process will be automated in a future release.	Firms
28. Corrections Filings in Filing History will now display NASD as the source instead of the firm	All
29. A new column has been added in the Occurrence History which displays the date that the first disclosure was made for each filing type (U-4, U-5, U-6), and it will now have a disclosure date.	All
30. The individual's home state will be added to the first registration table on the Registrations Summary, Registrations with Current Employers, and Registrations with Prior Employers screens.	NASD, States, SROs, SEC
31. The “Has Material Difference in Disclosure” section will be moved below the “Registration with Multiple Firms” in the Composite Screen.	All
32. The "To" field in Residential and Employment History will no longer display when the individual does not have an active firm association.	All
33. The individual's Current CE status will be displayed on the Composite Screen.	All
34. The individual's Disclosure counts will now display on the Composite Screen.	All
35. The CRD System will now display a second status line when a Temporary Registration is withdrawn. The status line appears twice; the first status line would indicate the approval time period with a status of TEMP_WD indicating that the temporary registration was withdrawn, while the second would display the new Pending status.	All

If the Pending status was subsequently terminated, the final status would be T_NOREG.	
36. When an individual is listed on Schedule A, Schedule B or a DRP on the Form ADV, the individual's information will be displayed on the Composite Information screen.	All
37. Added an option to view redlining of U-4 Forms between the same or between different firms.	All
38. The Approval Date on the View Individual Registrations screens will display as null when the status is Transition Requested.	All
View Organization	
39. Viewing historical BDW filing now displays the section containing a change to mailing address when viewed in changes-only (redline) mode.	All
40. A link will enable users to view all previous filings for a specific BD DRP or U-6 DRP.	All
41. The Quick Search option will not be displayed for users.	Firms
42. The Organization Name Change Display has been added to the "View Organization Information" Navigation Bar.	All
43. Added a column to Disclosure Summary indicating whether the DRP was filed for the applicant, affiliate or both.	All
44. If an Investment Adviser discloses disciplinary history and the advisory affiliate submitted a DRP to the CRD for the same event, a hyperlink has been added to open another browser and display the disciplinary history maintained in CRD.	All (IARD)
45. The control person's CRD Number will now be listed on the IARD Composite and on the Historical Filing.	All (IARD)
Queues	
46. The names in Alert Queues now match the Queue title, for example, changed the title from Currently 2-year CE Termed to Firm CE 2-Year Termed.	Firms
47. Added a "Month to Date" option on all State Queues that have the date range option.	States
48. Added the "Date Last Approved" to the Temporary Registration Queue.	States
49. The system will skip over Mass Transferred individuals when determining last Approval Date in the Queue.	States
50. The Manual Approval Queue will now display a Manual Approval Reason column.	States
51. Changed the button on appropriate individual queues from "Approve All" to "Approve Page".	States, SROs
52. A filter has been added in the Amend (Form BD) Notice Queue that allows users to filter by Applicant Information changes.	States, SROs, SEC
53. A button will be added in all broker/dealer Notice Queues to "Remove page" notices and to "Remove" specific notices in the Queue.	States, SROs, SEC

54. Branch Amendments will only appear in the Branch Notice Queue and not in the Amend Queue.	States, SROs, SEC
55. The BDW Queue will only contain withdrawals from the user's state and not any other states.	States
56. Added the "Source of the U-6 Filing" to the Disclosure Notice Queue.	States, SROs
57. Added option that will allow automatic states the ability to review all registration requests manually made by individuals that reside in their state.	States
58. Added Paging to the NASD and SRO Waivable Deficiencies Queue.	SROs, NASD
NFI- Individual	
59. Added a new status of "Abandoned".	States
NFI- Organization	
60. All notifications of the same type will be sent in one email. For example, all CE Inactive individuals will be sent in one Firm Notification email.	Firms
61. Firm Notifications has been expanded to allow for multiple email addresses for each firm.	Firms
62. Tracking information has been added to all Firm Notification emails (e.g., TIMESTAMP: 6/6/2001 1:40:16 PM)	Firms
63. Added the BD Number to the CE Firm Notifications email title.	Firms
64. Added a new CE Firm Notification which will be sent 30 days before the expiration of Required CE Session	Firms
65. Added a new Firm Notification for 2-year expiration of customer complaint reportability.	Firms
66. Added a new Firm Notification for 10-year expiration of bankruptcy reportability.	Firms
67. Added a new Firm Notification when a U-6 is entered against an individual.	Firms
68. Added a new Firm Notification when a U-6 is entered against the firm.	Firms
69. Added a new Firm Notification that will notify firms when an individual's registration status becomes "Denied."	Firms
70. Added a new Firm Notification that will notify firms when a registration status becomes "Revoked."	Firms
71. Added a new Firm Notification when a firm's filing fails submission.	Firms
72. Added a new Firm Notification that will notify firms when an individual status changes from "Approved Pending Prints" to "Inactive Prints."	Firms
73. Added a new Firm Notification that will alert the firm when an individual receives a "Terminated With No U-5" status.	Firms
74. IA-Only Firms will receive additional Firm Notifications that pertain to them. Currently, IA-Only firms can receive only the Other U-4 Filing Queue Notification.	IA-Only Firms

75. Changed Firm Notification receipt email address to @nasdr.com.	NASD, Firms
76. The Quick Search option will not be displayed for users.	Firms
Reports	
77. Inconsistencies in the Firm Snapshot with the Types of Business and Registrations have been reconciled between the report and application.	All
78. The Material Difference section in the Individual Snapshot will be moved below Registrations with Multiple Firms section.	All
79. “IARD Designations” label in the Individual Snapshot will be updated to read “Professional Designations”.	All
80. Added divider lines between sections and bolded labels in the Individual Snapshot.	All
81. Added a new report to show Individuals Transitioned who have not submitted a U-4 filing electronically.	Firms
82. The Approval Date in the Individual Snapshot will display Null when the status is Transition Requested.	All
83. Firms can now request all standard reports listed under “Request Reports”.	Firms
84. “Scheduled” reports will no longer be automatically generated by NASD for firms as firms will now have the ability to request all standard reports themselves.	Firms
85. PDF and HTML formatted reports will be automatically generated when a formatted report is requested.	All
86. Reports of the same type will be grouped together on the Reports Glossary and Request screens.	All
87. View Reports will be modified to be integrated with the CRD Site.	All
88. The Late Charge Report has been updated to include new U-5 Late Charge Codes.	States
89. Created new download version of the Individual Home State Report.	States
90. The following reports have been retired: <ul style="list-style-type: none"> • The Pending Queue Report • IA Status in State Report • State - Firm Disclosure History Report • IA State Firm Roster and Download Report 	States
91. The “Firm Application Processed” Report will be sorted in Ascending alphabetical order by Primary Business Name.	NASD, States, SROs, SEC

92. The “IA SEC Ineligible Firms” Report will now be sorted in Ascending alphabetical order by Primary Business Name.	SEC
93. The “IA-SEC Advisor Reconciliation” Report has been updated to be a weekly report.	SEC
94. The “IA Client Type” Report will now page break properly and the headers and footers will be in the correct locations on the report.	SEC
95. Removed "Date of Formation" from the following reports: IA Firm Snapshot , IA Firm Roster , and IA Firm Roster Download .	States, NASD, SROs, SEC
96. Added the following changes to the “IA Firm” Rosters and “IA Home Office” Reports: <ul style="list-style-type: none"> Parameter for All, Notice Filed or Registered An indicator of type of registration Added a download version Added home state parameter 	States, NASD, SROs, SEC
97. Added the following changes to the “IA SEC – Firm” Download: <ul style="list-style-type: none"> Adviser's web addresses Contact Information (includes Contact Employee, Contact Telephone Number, Contact Fax Number, & Contact email Address) SEC Registration Status Effective Date Adviser's initial filing date of Form ADV Most recent filing date of Form ADV 	SEC
98. Added the following changes to the “IA SEC Adviser” Report:	NASD, SEC

<ul style="list-style-type: none"> • Reconciled the Start and End dates • Deleted parameters for “Quarter” and “Year” • Created a download version 	
99. IA-Only firms will have access to reports that are only applicable to them.	IA-Only Firms
100. The following reports will only contain registration parameters that are applicable to the requester: <ul style="list-style-type: none"> • Individual Roster- Active Registrations • Current Statuses by Registration Category • Dual Registered Individuals • Position Statistical Report • Regulator Position Report 	SROs, States, SEC, NASD
Mass Transfer	
104. CRD Mass Transfer was enhanced to include the ability for individuals with an IA-Only firm to transfer to either a BD firm or an IA-Only firm.	IA-Only Firms
105. Individuals with IA-Only firms that are Statutorily Disqualified will transfer regardless of their SD status.	IA-Only Firms
106. The Status Date for all individual registrations will reflect the “Effective Date” of the Mass Transfer.	All
107. Exams will not be scheduled for individuals who are Exam Deficient that are part of a Mass Transfer.	Firms, NASD
108. The Mass Transfer section will read “ Mass Transfer List” on the Site Map and the Navigation Bar. The Site Map and Navigation Bar currently display as “Organization Search”.	Firms, NASD

109. The Office of Employment Address will reflect a TO date equal to the EFFECTIVE Date of the Mass Transfer.	Firms, NASD
110. The Filing Date for the Mass Transfer will be set to the “Effective Date” of the Mass Transfer.	All
111. Individuals who are dually registered with both the Predecessor and Successor firms will not transfer.	Firms, NASD
112. Individuals with a “U-5 Required” flag set with a predecessor firm will not transfer to the successor firm.	Firms, NASD
113. Users will no longer receive a Fingerprint Completeness Check when filing the first Amendment after a Mass Transfer.	Firms
114. The system will no longer change an individual’s “Pending” registration to “Approved” during the Mass Transfer.	All
115. Dual Deficiencies will be removed if the deficiency was set due to the individual holding the registration with the predecessor and successor firms.	All
Entitlement	
116. Account Administrators will be able to create new and change existing user passwords in the Admin Tools.	All
Accounting	
117. The Quick Search option will not be displayed for users.	Firms