

Web CRD® IARDSM
Release 9.0 Release Notes
April 23, 2007

DESCRIPTION	COMMUNITY
Form Filing - General	
An "Expected Purge Date" column was added to the <i>Pending Filing Search Results</i> screen for all forms to view the earliest date on which the pending filing is expected to purge from the system.	All
The <i>Signature Block</i> on Form U4 and U5 was updated. When the forms are printed, the name of the applicant/appropriate signatory will now display a manual "Signature" line instead of a line for the "Printed Name" field.	Firms
U4/U5/U6 - Form Filing	
The descriptions for the following NYSE Arca, Inc. (formerly PCX) registration categories were changed as follows: MM - Changed from "Market Maker" to "Market Maker Authorized Trader-Options(S44)" OT - Changed from "Off-Floor Trader" to "Authorized Trader" MT - Changed from "Market Maker Authorized Trader" to "Market Maker Authorized Trader-Equities(S7)"	Firms, ARCA (formerly PCX)
AMEX changed the Training Period for the General Securities Principal (GP) position from 3 years to 4 months.	Firms, AMEX
The Individual's signature (Applicant Signature) is no longer required on a Form U4 if no changes were made to the disclosure questions and the "Save" button was selected.	Firms
Main offices display as "BD Main" or "IA Main" when editing an Office of Employment record on a Form U4 filing.	Firms
Form U5 filings no longer fail submission if the individual has a directed CE sequence on appeal.	Firms
Form BD/BDW- Form Filing	
Firms now have the ability to view and print only the sections changed on a Form BD filing prior to submission.	Firms
When a Form BD Amendment filing terminates an Indirect Owner, the system correctly updates both the firm and the individual's record.	All
NRF Filing	
The system displays an error message on NRF filings if the "Date of Termination" provided is prior to the "Employment Date" or if the "Date of Termination" provided is a future date.	Firms
Mass Transfer	
The system no longer displays a General System Error (GSE) on the <i>Disclosure/Statutory Disqualification (SD) Status Review Query</i> screen during Mass Transfer setup if the individual selected to transfer is registered with more than one predecessor, and the individual has an SD status of "NO".	Firms, NASD, States, SROs
The system no longer displays a GSE during Mass Transfer setup when a user attempts to remove a branch that was part of a previous mass transfer.	Firms
The system no longer displays a GSE when viewing the blocked individual list for a Mass Transfer. This GSE previously displayed if an individual was selected for transfer from both predecessor firms.	States, SROs
The system no longer creates duplicate office of employment records during a Mass Transfer for individuals already registered with the successor firm. This will prevent subsequent Form BR filings from failing submission.	All
When selecting an individual to transfer from or to a Main Office location on the Individual List screen, the system displays the text "BD Main" or "IA Main" instead of the Branch CRD#.	Firms, NASD
View Individual	
Entitlement errors no longer display on the <i>View Individual</i> screens after users view Registration Comments during a Pre-registration Search.	Firms
Individual Processing	
Continuing Education (CE) exempt positions will no longer be set to "CE2YEARTERMED" if an individual has been "Inactive" due to Continuing Education for more than two years.	Firms, NASD, SROs
When a regulator terminates a firm's registration, the system no longer terminates an individual's firm association if they hold purged registrations for a period of less than 120 days.	Firms
View Organization	
"Occurrence ID" and "Disclosure Type" fields have been added to the <i>Organization Deficiency Detail</i> screen. If the deficiency is in reference to disclosure information, the related occurrence number and it's disclosure type will be displayed. When a user selects the "Occurrence ID" hyperlink, the <i>Occurrence Composite</i> for that occurrence displays in a second browser window.	All
On <i>View Organization</i> screen headers, the system displays the "View IA Record" hyperlink for Broker-Dealer (BD) firms that are currently or were formerly registered as Investment Advisers (IA).	All
Non-Filing Information (NFI)	
A new firm notification was added to alert firms when an individual's exam status changes.	Firms
The Individual Name was added to the following firm CE notifications: - Notify when registered individual enters Firm CE Inactive Queue - Notify when registered individual is within 90 days of the end of his or her CE Required window - Notify when registered individual is within 30 days of the end of his or her CE Required window	Firms

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The system correctly sends firm notifications for the branch deficiency type "NOSPRVPIC" (Only listed Supervisor or Person-in-Charge no longer with Branch).	Firms
The "Agent Registration (Flag to Advise)" notification text was updated to read as follows: "The following individual(s) has applied for registration in your jurisdiction."	NASD, States, SROs
In Organization Non-Filing Information, the system no longer allows a future date to be entered as the Effective Date of the firm's registration.	States, SROs
The NFI <i>Current Registrations Summary</i> screen correctly displays an individual's RA registrations with firms that have an "Active" IARD registration status.	States
Queues	
Notices in the "Organization No Status (NOSTAT) Queue" correctly display BDR (Broker or Dealer Retailing Corporate Equity Securities Over-the-Counter) in the "Types of Business" field.	States, SROs
The "Include Sections Changed" filter in the "Amend (Form BD) Notice Queue" now applies the filter criteria to all rows and pages of the search results.	States, SROs, SEC
The character count limit in the assignment box on the "Manual Approval Queue" was increased to allow 20 characters.	States
The "Jurisdiction Termination for Cause Queue" was created for state users to identify individuals whose jurisdiction registration was terminated by a Full U5 with a termination reason of Discharged, Permitted to Resign, or Other.	States
The Firm Registration Queue Totals correctly display the count of notices in each queue.	Firms
Form BDW notices correctly indicate all the questions that were answered "Yes" on the filing.	States, SROs, SEC
The system correctly sends notices to the following Non-Phase II SROs' Broker Dealer Withdrawal queue when a non post-dated Partial or Full BDW is submitted by a firm: AMEX, CHX, NYSE, PHLX, ARCA, NQX.	SROs
Reports - Web CRD	
Investment Adviser representatives (RA) were added to the "Individual-State Data Download" report, which previously only included Broker-Dealer agents (AG). A new report parameter was added for requestors to have the option of selecting a Registration Category of "AG", "RA", or "BOTH."	States, NASD
The "Renewals - Approved AG Reg Without NASD Approval" report and download was renamed to "Individual - Approved AG Regs Without NASD Approval" and "Individual - Approved AG Regs Without NASD App-Download".	Firms, States, NASD
The "Individual - Termination for Cause - Jurisdiction" report was created for state users to identify individuals whose jurisdiction registration was terminated by a Full U5 with a termination reason of Discharged, Permitted to Resign, or Other.	States
The "Firm - No Individuals Registered in a Jurisdiction" report was created to provide a listing of all Broker-Dealer firms or Investment Adviser firms registered in a particular state and have no AGs or RAs respectively registered in that state.	States
The "Individual - Transition Status - States Report and Download" no longer moves subsequent column values up if a record is missing a value in that column.	States
The "Roster - Individual - Firms" report and download correctly includes official exam waivers.	Firms
The "Accounting Disbursement Detail" report now contains separate line items for AG (Broker-Dealer Agent) Mass Transfer Fees, RA (Investment Adviser Representative) Mass Transfer Fees, and Branch Mass Transfer Fees.	States, SROs, NASD
The "Accounting - Disbursement Detail" report and download parameters display an error message if the "Run Date" entered is more than 13 months prior to the current date.	States, SROs, NASD
Branch Office	
Branch Composite will correctly display all current Supervisors/Persons-In-Charge for a branch that has more than 25 Supervisors/Persons-In-Charge.	All
The "Branch - Associated Individuals Report" correctly includes individual branch associations for which a start and an end date was entered on the same Form U4 filing.	Firms, States, SRO, NASD
The "Branch - Associated Individuals Report" no longer displays "Yes" in the SD column when an individual has an SD status of "SDNO".	Firms, States, SRO, NASD
IARD	
Investment Adviser firms are now able to submit ADV Part II brochure filings through IARD.	Firms, States, SEC
Investment Adviser DRPs for previously associated affiliates no longer display as current on Form ADV and the IAPD system.	Firms, States, SEC
Firms no longer receive a second approval notification when the SEC registration changes from "APPROVED-120" to "APPROVED."	Firms, SEC
Investment Adviser can no longer submit multiple Annual Amendment filings for the same fiscal year end.	Firms, SEC
The month and year for which an annual amendment was filed now displays on the Organization Filing History screen.	Firm, States, SEC
Form ADV Amendments no longer fail submission if an individual's name is changed on the filing and the new name is same as the current name.	Firms
The firm CRD number is pre-populated in the report parameters if the "Request Snapshot" hyperlink is selected from the View Organization navigation panel in IARD.	States, SEC, NASD
When a notice filing status is marked for "Removal Requested at the end of the Year", the Status Detail Effective Date is updated to 12/31 of that year.	Firms, States

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The system no longer displays duplicate disclosure occurrences on the firm's <i>Current Disclosure Summary</i> screen if the occurrence was originally linked and then unlinked.	Firms, States, SEC
Other	
The qualifying exam for the NYSE Securities Manager (SM) position was changed from the Series 12 to the Series 10. When an SM position is requested with the NYSE a Series 10 exam will be scheduled. Other positions that rely on the SM position will also reflect the Series 10 as the qualifying exam. In addition, the Series 12 exam is no longer available on Form U4.	Firms, SROs
The following NYSE feeds now display the form filing date as the date the filing was submitted: Form U4, Form U5, Form U6 and NRF feeds.	NYSE
CRD/IARD Supported browser requirements were updated to replace Netscape support with Firefox version 1.5 and Microsoft Internet Explorer version 7.0.	All
Across Web CRD and IARD, the full contents of text areas now print instead of only printing the content that is visible. Note: In order for all information to be printed while editing, the Save button must have been selected prior to printing.	All
Web CRD now correctly displays exam scores for exams requested through Form U10, eliminating any discrepancy between the exam score and the "Passed/Failed" status. For example, a Series 65 exam with a "Failed" score of 67.6 will display on Web CRD as a score of 67 instead of 68.	All
The Pacific Stock Exchange (PCX) was renamed on all forms to NYSE Arca, Inc (ARCA).	Firms, NASD, States, ARCA, SEC
The United States Virgin Islands was added as a jurisdiction.	All
Web EFT	
The "Web EFT Posting Reports", "Branch Information Report" and "Individual Information Report" were optimized for better performance.	Firms
The "Web EFT - Individual Information Report" was updated to include the Exam window begin and end dates.	Firms
The "Web EFT - Individual Information Report" was updated to no longer include the individual's previous registration with the firm listed in the <i>Registrations with Current Employers</i> section of Form U4.	Firms
The "Web EFT - Individual Information Report" correctly includes NRF individuals.	Firms
The "Web EFT - Individual Information Report" was updated to correctly display special characters found in an individual's record.	Firms
The "Web EFT - Post Termination Report" was updated to include the "U5 Filing Type" (Full, Partial, or Amendment).	Firms
The "Web EFT - Post Deficiencies Report" was updated to include the deficiency create date.	Firms
The "Web EFT - Post Branch Individual Report" generates daily instead of weekly.	Firms
The "Web EFT - Post Branch Deficiencies Report" now reports the following branch deficiencies: NYSERGLRSPRVQUALS, NYSERGLRNOSPRVEMPLT, NYSERGLRNOSPRV, NYSERGLRNACTV, NOSPRVPIC, NASDOSJSPRVQUALS, NASDOSJNOSPRVEMPLT, NASDOSJNOSPRV, and NASDOSJNACTV.	Firms
The "Supervisor/PIC Start Date" was added to the "Web EFT - Branch Information Report" to identify when the individual became a Supervisor/PIC at a branch, as reported on Form BR or updated on Form U4.	Firms
Non-Registered Locations added via a Web EFT filing now reflect the "Type of Office" as "Located At".	Firms
A new completeness check was added to restrict an employment location from being requested on a Form U4 filing if the individual already has an open association with that location.	Firms
All the Web EFT downloads were updated to no longer display attributes if there is no data to report (e.g. Name last=" " will no longer be included).	Firms
In the "Post Branch Individual" schema and download, erroneous attribute "empCntxt" for complex type AsctdIndvl was removed.	Firms