

Web CRD[®] and IARDSM
Release 9.2 Release Notes
October 1, 2007

DESCRIPTION	COMMUNITY
Form Filing	
The following changes were added to the BD/BDW blank forms and blank form instructions: - "Virgin Islands" and "NQX" (NASDAQ Exchange) were added as regulators. - "CSE" (Cincinnati Stock Exchange) changed to "NSX" (National Stock Exchange). - "PCX" (Pacific Stock Exchange) changed to "ARCA" (Archipelago).	Firms
The following new registration categories for NQX are on the Form U4 and Form U5 and corresponding blank forms: - "Registered Options Principal (OP)." - "Registered Options Representative (OR)."	Firms
Mass Transfer	
Two new buttons were added to allow firms to include or remove all NRF/Back Office individuals on the <i>Mass Transfer</i> screens: "Select All NRF" and "Remove All NRF."	Firms
Renewals	
Entitled users, during the year-end final renewal reconciliation period, will be able to view "Regulatory Notes" and "Registration Comments" on the <i>View Organization/Individual</i> screens.	All
"Outstanding disclosure letters" will be marked as "RESOLVED" after post-dated processing runs, for "Full" post-dated Form U5s.	Firms
Post-dated Form U5 filing processing will close all "Office of Employment Locations" for individuals who maintain both "Active" and "Purged" (Inactive) registrations at the time of the filing.	All
The "U5 Manual Queue" will now display a notice when a post-dated Form U5 is submitted during renewals for individuals set to Manual Review. The notice will appear in the "U5 Manual Queue" on the date the U5 is filed in Web CRD with a termination date of 12/31/YYYY.	States
During the year-end final renewal reconciliation period, post-dated processing will no longer reset a post-dated firm registration back to "Withdrawal Requested" or "Termination Requested" when a registration has been updated to Terminated via NFI.	Firms, States, SROs
The following changes were added to the "Renewal Statement" and "Renewal Reports": - "Virgin Islands" and "NQX" (NASDAQ Exchange) were added as regulators. - "CSE" (Cincinnati Stock Exchange) was changed to "NSX" (National Stock Exchange). - "PCX" (Pacific Stock Exchange) was changed to "ARCA" (Archipelago).	All
Web EFT	
The following new registration categories for NQX are on the Form U4 and Form U5 and corresponding blank forms: - "Registered Options Principal (OP)." - "Registered Options Representative (OR)."	Firms
Queues	
The system will display a warning message when a user selects the "Remove All" button on the "Jurisdiction Term for Cause" Queue asking users to confirm the deletion.	States
IARD	
The IARD "Update Email Verification" page was updated to request that System Administrators add the SECIARDNotifications@nasd.com e-mail to their list of Non-SPAM e-mails to ensure the delivery of IARD system notifications.	Firms, SEC
The IARD "SEC Approval Email Notification" was updated with a new SEC hyperlink www.sec.gov/divisions/investment/advoverview.htm to refer new advisers to specific compliance information posted on the SEC's Web site.	Firms, SEC