

Description	Impacted system area	Community
Branch		
The Uniform Branch Office Registration Form (Form BR) has been revised to eliminate Section 6 (NYSE Branch Registration), add new questions, and clarify the information elicited on Form BR. The Release includes the following confirming system changes: • Instructional language/text changes • Completeness checks to required fields, as appropriate. • Updates to Branch Office Searches, Branch Composite, Branch Deficiencies, Branch Office queues and Branch Office Notifications. Firm users will have the ability to search for a branch office directly from the CRD sitemap. • NYSE will be processed on Form BR as a Branch Notice Filing regulator. (this includes conversion of existing NYSE branches) • Removal of NYSE Section and impacted areas (Branch Office Filing History page and Notice queues). • Form BR will no longer auto capitalize all entered text, allowing the filer to enter the case as appropriate. This change will be phased into other areas of WebCRD in future releases. • New pop up message that will display when a firm user selects the private residence checkbox for a branch address. For more information concerning the revised Form BR, please refer to Regulatory Notice 14-11 and www.finra.org/crd/branchoffice on April 7, 2014.	General	All
The Branch Closing filing type will no longer allow a branch end date that is prior to the start date of any of the individuals associated with the branch.	Form Filing	Firms
Pending Form BR filings will be made read-only (invalidated) when the following changes occur: • The branch's registration information changes outside of a filing • The firm files a U4 or U5 to remove any listed supervisors or PICs from the branch	Form Filing	Firms
Impact of Branch Office (Form BR) enhancements to WebEFT: • Updates to the BR Form Filing XML schema to conform to the revised form • Updates to the following reports as a result of the Form BR changes: Branch Information Report (BIR) Branch Posting reports Individual Information Report (IIR) For more information concerning WebEFT impacts, please refer to www.finra.org/webefit/schema on April 7, 2014.	WebEFT	Firms

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The following Branch reports have been updated with conforming changes to include the new information being collected: - Branch - Associated Individuals - Branch - Branch Roster - Branch - Supervising OSJ and Regular Branches - Branch - Snapshot - Branch - Individuals with Multiple Employment Addresses - Branch - Applications Processed - will only be available in comma separated format (state users only)	Reports	FINRA, State, SRO, Firms
Branch related regulator and firm queues have been updated to include conforming updates in support of Form BR revisions. In addition, the following updates/improvements will be visible. Regulator Queues: • New options to filter notices by the filing date and branch registration status • Will now include branches that are being mass transferred with a "pending" registration status • Will now accurately display information about Form BR sections that were modified • Notice filing regulators will no longer see the branch registration status update option (since it is no longer applicable to them) • The non filing branch queue will include notices for deficient branch registrations that are being mass transferred Firm Queues: • The NYSE Branch Review status queue has been removed • The branch deficiency queue will now include "All" as an option for the deficiency type search filter • Branch status firm queue will now display all the options for the branch status field sorted alphabetically	Queues	Firms, State, SRO
The following updates have been made to Mass Transfer: Branch related changes: • Deficiencies on non -OSJ Branches remaining with predecessor firm will now be set correctly when the OSJ Branch is transferred. • A deficiency will be correctly created on FINRA non-OSJ branch when the OSJ branch supervising them is transferred. • All deficiencies will be removed for branches that close as a result of a mass transfer. • When an individual included in a mass transfer is associated with the predecessor and successor the system will no longer create duplicate office of employment records. Estimated fees: Mass Transfer Estimated Fees will be calculated correctly for individuals with FINRA registrations and MT type is (Succession, Consolidation, Merger).	Mass Transfer	FINRA, Firm

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Regulators now have the ability to add regulatory notes for branches.	Non-Filing Information (NFI)	State, SRO, FINRA
The system was updated to move individuals to the BD Main Office when the only branch they are associated with is closed by a non filing event.	Non-Filing Information (NFI)	FINRA
Branch - Registration/notice filing information was enhanced to indicate the user responsible for any changes to branch's registration or notice filing status.	View Branch	FINRA, State, SRO, Firms
Branch - BR Amendments that update the branch address will now correctly update the assigned FINRA district as well.	Branch Processing	FINRA
Miscellaneous		
Regulators will have the ability to submit Bankruptcy DRPs for financial events where the date of the event is greater than 10 years old. A warning message has been added to alert users when this condition occurs.	Form Filing	FINRA, State, SRO
GEMINI's name and acronym was changed to 'ISE GEMINI' in Web CRD.	Form Filing	All
The system will no longer delete a re-scheduled exam in 'Funds Deficient' status when the old exam window expires.	View Individual	FINRA, Firms
The system will no longer display duplicate GS records for an individual who has an existing GS with a regulator that offers MP position and subsequently requests the MP.	View Individual	All
Individual's Current CE - record with blank status or status date will no longer display when viewing an individual who has returned to the industry after being terminated	View Individual	All
The Individual - View SSN download report was enhanced to include the specific system page that the SSN was viewed on.	Reports	All
Entitled Form ADV users will now be able to view SSN entered in Part 1B question 2.J(3) for historical filings submitted in older form versions	IARD - Form Filing	State, Firm
WebEFT		
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Exam and Continuing Education Enrollment IDs will be added to the following reports: • Individual Information Report (IIR) Full and Delta • Post Enrollments Report • Post Appointments Report • Post Exams Report	WebEFT	Firms
The Post Accounting report will now contain transactions from the previous day, rather than two days ago.	WebEFT	Firms
GEMINI's name & acronym is being changed to 'ISE GEMINI' in Web CRD.	WebEFT	Firms
The Registration Status attribute in the IIR and Post Approval reports will be updated to "not nullable".	WebEFT	Firms

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BrokerCheck		
The BrokerCheck summary page was enhanced to highlight the following information:	Summary	All
• Brokers who are currently suspended by FINRA • Brokers who are currently barred by FINRA and the SEC for securities related violations • Brokers who have been registered with firms expelled by FINRA • Brokerage firms that have been expelled, cancelled, suspended, revoked, liquidated or are in receivership by FINRA • Additional disclosure information (event date and status) that were earlier only available in the PDF report will now be available on the summary		
Improved the display of the summary page to include:	Summary	All
• Updates to make the link to IAPD more apparent for dually registered individuals and firms • Updates to display a single sentence stating the type of event rather than the generic disclosure term if an individual or firm has only 1 type of disclosure		
PFRD		
Filers submitting Form PF as an online form will be able to update the Fund Type on the Private Fund List page of Initial and Updating filings.	Form Filing	Firms
Filers submitting Form PF as an online form will be able to update the Reporting Period End date on pending filings.	Form Filing	Firms
Form PF questions that require a NAICS code will allow an answer of "NA" if none of the other codes apply.	Form Filing	Firms
A new option will be added to Form PF that allows filers to report data for funds that were recently removed from Form ADV.	Form Filing	Firms
Arbitration Awards Online (AAO)		
Added a new Special Case Type: "Large Case Project".	Website	All
FINRA Disciplinary Actions Online (FDA)		
Added a new Document Type category: Temporary Cease and Desist Orders.	Website	All