

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
General		
<p>Effective September 30, 2017, 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 released after 2011 (4 or higher) • Firefox versions released after 2011 (4 or higher) • Internet Explorer versions released after 2013 (11 or Edge) • Safari versions released after 2013 (7 or higher) 	All	All
Web CRD		
<p>Effective October 1, 2017, NYSE-AMER will no longer recognize the following registration categories:</p> <ul style="list-style-type: none"> • Member Exchange (ME) • Floor Employee (FE) • Floor Clerk (FL) 	Forms U4 & U5	Firms, SROs
<p>The separate Terminated Individuals Search functionality will be removed. Instead, a pop-up message regarding viewing terminated individuals will display once per browser session when a terminated individual is viewed.</p>	View Individual	Firms
<p>The Terminated Individual Report Request checkbox will be removed from the Snapshot report, and replaced by a static warning message regarding viewing terminated individuals.</p>	Reports	Firms
<p>An export feature will be added to the individual 'Outstanding Disclosure Letters' queue, allowing firms users to obtain a CSV download of outstanding letters and details.</p>	Queues	Firms
<p>The 'Disclosure Only' functionality for non-industry individuals and firms will become read-only.</p>	Disclosure Only	FINRA, States
<p>In order to submit Form U6 in Web CRD for non-registered individuals, regulators will have the ability to create a new individual CRD record when they have the individual's Social Security Number and Date of Birth.</p>	Form U6	FINRA, SEC, States, SROs
<p>Required fields in the 'Subject of Action' section of Form U6 will be marked with an asterisk (*).</p>	Form U6	FINRA, SEC, States, SROs
<p>The list of Statutory Disqualification (SD) statuses will be revised. For the revised list of codes, please see www.finra.org/industry/statutory-disqualification-process after September 30, 2017.</p>	Statutory Disqualification	FINRA, Firms

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
IARD		
<p>Effective October 1, 2017, the Form ADV will be revised with SEC mandated changes, which include:</p> <ul style="list-style-type: none"> • Revisions to fill data gaps and provide additional information about investment advisers, including their separately managed account business. • Introduction of Schedule R as a method for private fund adviser entities operating a single advisory business to register using a single Form ADV. • Clarifying, technical and other amendments to existing items and instructions. <p>For additional information regarding Form ADV revisions, please visit the SEC's website: https://www.sec.gov/divisions/investment/iard/ia-forms.shtml</p>	Form ADV	Firms, SEC, States
Form ADV will correctly display a completeness check error when a Part 1B disclosure question is answered 'Yes' and a Disclosure Reporting Page (DRP) has not been provided.	Form ADV	Firms, States
Regulator queues and reports will be updated with corresponding changes to support the revised Form ADV.	Queues, Reports	SEC, States
Web EFT		
The Individual Information Report (IIR) schema will be updated to reflect the revised list of Statutory Disqualification (SD) codes.	Reports	EFT Subscribers
IAPD		
The IAPD site and reports will be updated with corresponding changes to support the revised Form ADV.	All	General Public
PFRD		
Effective September 30, 2017, all web service connections to programmatically upload filings must use HTTPS (HTTP Strict Transport Security) and TLS 1.2 (Transport Layer Security).	Web Service	Firms