Web CRD Release Notes
Release 2.0.7 – 01/2001

States

View Individual Information

ADMIN and MT filings are now viewable in the Form Filing History.

Queues

Anytime an NASD registration is obtained due to an exam waiver and a state registration was requested, agent will show in the Jurisdiction's Manual Approval Queue.

Reports

The Individual Roster (Download)-Active Registrations Reports address information for residential address and office of employment address will be formatted in separate fields.

Users will have the option to generate PDF files for additional reports.

Individual Snapshot Report – Previous Employers and Current Employers information will be separated.

Mass Transfer Report expiration will be changed from 7 days to 60 days.

Individual Application Processed Report – the total count for the final registration status will be calculated properly.

Individual Application Processed report will be sorted alphabetically by last name then first.

SROs

View Individual Information

ADMIN and MT filings are now viewable in the Form Filing History.

Reports

Users will have the option to generate PDF files for additional reports.

Individual Snapshot Report – Previous Employers and Current Employers information will be separated.

Mass Transfer Report expiration will be changed from 7 days to 60 days.

SEC

View Individual Information

ADMIN and MT filings are now viewable in the Form Filing History.

Reports

Individual Roster-Active Registrations Reports is now available to the SEC.

Firms

Accounting

Date range in the Transactions From Date and the Transactions Thru Date will be restricted to 90 days.

Users may request only up to 13 months in the past for any accounting queries.

View Individual Info

ADMIN and MT filings are now viewable in the Form Filing History.

Form Filing

Several typographical errors in Forms U4 and U5 have been corrected.

Users will no longer receive a GSE when a future employment date is entered in the Affiliated firms section. They will receive a Completeness Check error instead.

The manual Signature line from U4 Page 5 will display on Print Preview.

New positions -- NYSE-PM, -PC, -SC, and -TA have been added to the CRD system.

"SRO Registrations for Affiliated BD #" and "Jurisdiction for Affiliated BD #" will show in the Print Preview again.

Notifications

Approaching CE notification was added to the Firm Notification e-mail option.

Reports

Users will have the option to generate PDF files for additional reports.

Individual Snapshot Report – Previous Employers and Current Employers information will be separated.

Account Activity Report has been modified to accept a date range of up to 120 days.