DESCRIPTION	COMMUNITY
U4/U5/U6/NRF - Form Filing	
Verification of an individual's social security number (SSN) and month/day of birth will be required upon creation of the following filing types: U4 Initial, U4 Dual, U4 Relicense, U4 Page 2 Initial, Initial NRF.	Firms
The S47 exam will no longer be available on Forms U4 and U5.	Firms
Form U4 will be updated with the following new completeness check to prevent users from requesting a Continuing Education session (S101, S106 or S201) in the Exam Information section when a tracked CE session window is already open for that individual: "*The <CE Session Type Code> CE session cannot be scheduled because there is an active window already open."*	Firms
Firms will be able to submit a Page 2 BD Initial filing for individuals that have an active NRF employment association with the firm.	Firms
Firms will be able to amend the Date of Termination and/or Reason for Termination for a currently re-associated individual's most recently terminated RR or RA association with the filing firm.	Firms
The following EDGA and EDGX positions will be added to Forms U4 and U5: CD – Canada – Limited General Securities Registered Representative (S37) CN – Canada – Limited General Securities Registered Representative (S38) IE – United Kingdom – Limited General Securities Registered Representative (S17) MT – Market Maker Authorized Trader – Equities (S7) **Note, this position is Pending SEC Approval and will not be active on the forms until approval is granted.*	Firms, EDGA, EDGX
When a U4 Amendment filing is submitted to update the Fingerprint Requirements (Form U4, Section 6) selection from option 1 to option 3, the system will update the individual's fingerprint record and registration status with the affiliate firm.	Firms
View Individual & Individual Processing	
The registration review method for the NYSE and AMEX CO positions will be changed from manual to automatic. Once an individual successfully passes the S14 exam, his/her registration will be systematically Approved.	Firms, NYSE, AMEX, FINRA
For individuals that hold an approved AR registration with another regulator, the system will correctly approve subsequent AR registration requests with other regulators.	Firms
Accounting	
Accounting functionality has been modified to determine a firm's Web CRD Daily Account Status (i.e. Sufficient or Deficient) based on the firm's real-time balance.	Firms, FINRA
Non-Filing Information (NFI)	
Entitled jurisdiction users will be able to withdraw S63, S65, and S66 exam requests via Non-Filing Information, and the individual does not have an exam deficiency for that exam type with another jurisdiction.	States
Web CRD Notifications	
A new email notification will be added to notify the firm when a letter has been sent to the organization's Disclosure Letters Queue. ***Note:*** *Users who currently receive the "Notify when registered individual enters the Firm Outstanding Disclosure Letters Notice Queue" notification will be automatically subscribed to this new notification. Users who do not wish to receive the new notification may unsubscribe via Organization NFI.*	Firms
A new e-mail notification will be added to notify firms when a registered individual has an Outstanding Disclosure Letter more than 30 days old. ***Note:*** *Users who currently receive the "Notify when registered individual enters the Firm Outstanding Disclosure Letters Notice Queue" notification will be automatically subscribed to this new notification. Users who do not wish to receive the new notification may unsubscribe via Organization NFI.*	Firms
Web CRD Reports	
The Individual - Disclosure Download report will be updated to include archived Customer Complaint DRPs.	Firms
Miscellaneous	
Mass Transfer Blocking Counts on the Details page will be updated to match the counts on the Individual List page	States, FINRA
Web EFT	
The following error messages will now be provided in the .nrs results file when the RegisteredBranch node on Form U4 has conflicting information: - "To associate the individual with the BD main office,attribute mainOfcBDFl must be 'Y' and do not include attribute brnchPK. To associate the individual with a non-main office branch, attribute mainOfcBDFl must be 'N' and attribute brnchPK must have a valid branch number." - "To associate the individual with the IA main office,attribute mainOfcIAFl must be 'Y' and do not include attribute brnchPK. To associate the individual with a non-main office branch, attribute mainOfcBDFl must be 'N' and attribute brnchPK must have a valid branch number."	Firms
The following error message will now be provided in the .nrs results file when a CE Session is requested (S101, S106, S201) but an active CE Window already exists: "The <CESession Type Code> CE Session cannot be scheduled because there is an active window already open."	Firms
The Post Approvals Report, Post Deficiencies Report, Post Pending Report, and Post Termination Report will be updated to remove the following "registrationCategory" value from all SROs: - JP In addition, the Post Deficiencies Report, Post Enrollments Report, and Post Exams Report will be updated to remove the following "exam" value: - S47	Firms
The IIR will be expanded to include Terminated Individuals. The Full IIR will include individuals whose firm association terminated date is within the previous 30 days. IIR Delta will include individuals terminated since the previous run.	Firms

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DESCRIPTION	COMMUNITY
Web EFT (Continued)	
The Individual Information Report (IIR) will be expanded to include Exam Waivers. For firms receiving information for Exam Waivers in the IIR, the following elements will be provided: - Exam Code - Regulator that waived the exam - Waiver Reason - Date exam was waived	Firms
The IIR will include the following new attributes: - Form NRF "Position in the Firm" - CE Foreign Deferred Flag - DRP Amended flag to indicate if a DRP is an initial or has been amended - DRP Date Exact flag to indicate whether the date is the exact date. Note, this flag will be added to all DRPs.	Firms
The BIR will be expanded to include the following information: - Individuals associated with each branch - Branch Status changes - Branch Deficiencies detail - Branch Other Names detail	Firms
The following BIR elements will be changed to begin with lower case to be consistent with the other elements in the report: - Within CertLoc node, changed „Nm" to „nm" - Changed „AssmLbltyXpnsFl" to „assmLbltyXpnsFl" - Within RgmntEntty, changed „Nm" to „nm"	Firms
IARD Form Filing	
The OMB Expiration Date on Form ADV-W will be updated to Nov. 30, 2013.	Firms, SEC
The IA Firm transition functionality for Colorado will be activated.	Firms
Question 4 on Form ADV, Schedule D, Section 7A (*If the related person is a broker-dealer, is it a qualified custodian for your clients in connection with advisory services you provide to clients?*) will only be required if the 'Broker-Dealer' radio button is selected for Question 3 (*Related Person is*).	Firms
Question 6 on Form ADV, Schedule D, Section 9C (*Does the report prepared by the independent public accountant that audited the pooled investment vehicle or that examined internal controls contain an unqualified opinion?*) will only be required if the 'audit a pooled investment vehicle' radio button or the 'prepare an internal audit report' radio button is selected for Question 5 (T*he independent public accountant is engaged to:*).	Firms
IARD Reports	
A new IA-SEC Custody Download report will display Custody information reported on Form ADV by SEC registered Investment Adviser firms.	SEC
A new IA State - Firm Download report will display the responses to questions on Part 1A and 1B of Form ADV for all investment adviser firms with an active registration status in the requesting state.	States
BrokerCheck ** Note, BrokerCheck changes will be effective March 19, 2011*	
A maximum of 100 search results will display when conducting a Simple Search in BrokerCheck. If the results exceed 100, users will receive a message requesting that they refine their search.	All
When a manual PDF report is not available for a legacy individual in BrokerCheck and there is no pending request, the online summary screen will display a 'Request Report' button instead of a 'Get Detailed Report' button. In addition, the summary page will be updated to include a timeframe as to when the report will be available.	All
IAPD ** Note, IAPD changes will be effective March 19, 2011*	
A maximum of 100 search results will display when conducting a Simple Search in IAPD and IAPD-Individual. If the results exceed 100, users will receive a message requesting that they refine their search.	All
Arbitration Awards Online (AAO) ** Note, AAO changes will be effective March 19, 2011*	
The AAO Turing test will now display prior to viewing the search results instead of prior to viewing an arbitration award. In addition, the Turing test feature will be enhanced for the visually impaired.	All

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