

| SUMMARY   | IMPACTED SYSTEM AREA | COMMUNITY   |
|---|----------------------|-------------|
| <b>Classic CRD</b>  |                      |             |
| <p>The following changes will be made to the available reports for states:</p> <ul style="list-style-type: none"> <li>• <b>Full - Individual State Data Download Report:</b> <ul style="list-style-type: none"> <li>○ Implementing user enhancements.</li> </ul> </li> <li>• <b>Core - Individual Data Download Report:</b> <ul style="list-style-type: none"> <li>○ This report will be a stand-alone report, separate from the Full – Individual State Data Download Report.</li> </ul> </li> </ul> | Reports              | States      |
| In Section 4 of Form U4, the automatic pre-population feature will be removed for Exchange-Specific Registration Categories.  | Form U4              | Firms, SROs |
| <b>IARD</b>   |                      |             |
| Form ADV will no longer display a General System Error (GSE) when filers update entries in Schedule D Section 1.B.  | Form ADV             | Firms       |