

Web CRD®/IARDSM Release 6.0 Changes
Deployment Date: 03/08/2004

	Description	Community
ACCOUNTING		
1	Accounting transactions will be optimized to enhance performance.	All
2	A "Late Disclosure Fee" will be implemented.	NASD, Firms (N/A to IA-Only firms)
3	CRD Accounting will charge a Pacific Stock Exchange (PCX) Termination Fee of \$30 when the last PCX registration is terminated through a Full or Partial Form U5.	All
4	Simultaneous Filing Group (SFG) firms will not be charged duplicate Termination Fees.	NASD, Firms (N/A to IA-Only firms)
5	The Web CRD/IARD E-Pay application link will be added to the following CRD and IARD Accounting screens: The <i>Accounting</i> main screen, the <i>Daily Account</i> and the <i>Renewal Account</i> screens	Firms
CRD MAIN SCREEN/ ACCOUNT ADMINISTRATION		
6	CRD and IARD Footer disclaimer language will be changed to: "Using this Web CRD® or IARD SM system means you accept and are bound by its Terms and Conditions". This change was implemented to include the registered trademark for CRD.	All
7	Users will no longer be able to change their password after its expires. If the 120 days have elapsed, and the user has not changed his/her password, when the user attempts to log in, he/she will be directed to a blank screen and will not be able to access CRD or IARD. The user will need to contact his/her Account Administrator to have his/her password reset. The user should change his/her password BEFORE it expires to avoid having to contact an Account Administrator to reset the password.	All
REPORTS		
8	The "Individual Snapshot" Report will now display registration status information for each employer in alphabetical order by regulator, then by Status Date.	All
9	The recipients for the formatted and download versions of the "Roster- Individual Firms/Download" will no longer be inconsistent. Previously there were some user groups that did not have the ability to request this report.	Firms, NASD, SRO
10	The "State Data Download" will contain only current firm associations that have active AG registrations. CRD will not display RA registrations when the Current and Previous registrations are listed.	States
11	Grammatical corrections and clearer instructions made to DRPs will be reflected in the following Reports: Snapshot - Individual, Snapshot - NASD Individual Database Extract, Term for Cause, SRO for Cause, DRP for Cause and the Snapshot - BD Firm.	All
12	The processing time for the most frequently requested reports will be optimized to enhance performance.	All
FORM FILING		
FORM U4		
13	The word "PRESENT" in the <i>Employment History</i> section will now display and print in "Print Preview".	NASD, Firms
14	Revised Blank U4 and U5 Forms with fields that allow a user to enter the data online will be added to CRD.	NASD, Firms
15	A new SRO registration category of "Research Analyst (RS)" will be added for NYSE and NASD. The appropriate CE enrollments will also be set.	NASD, SRO, Firms
16	CRD will make users complete Items 7 and 8 if the arbitration and litigation boxes are not marked.	NASD, Firms
FORM BD/BDW		
17	Typos will be corrected on Form BDW.	NASD, Firms
18	When evaluating registrations for dual deficiencies with a regulator that allows dual registration with an affiliated firm, CRD will determine affiliated firms based on the affiliations reported on the Forms ADV and BD and not solely on the Form U4.	NASD, States, Firms
19	Filing a BDW will not reassign the NASD District when the main address of the firm filed on the BDW differs from the main address on the Form BD.	Firms, NASD
20	A new "Completeness Check" will be added to display an error if all the pertinent information is not entered when creating a Direct or Indirect Owner.	Firms, NASD
21	CRD will clear the "TEXT" deficiency when a firm revises the answer to the Other Business Question 12Z from "Yes" to "No".	Firms, NASD
22	When a firm updates the "Contact Information", a warning message will display on the Completeness Check to notify the user to also update "Contact Information" under Non-Filing Information if it is applicable.	Firms
FORM U6		
23	The disclosures will display immediately in the "Disclosure" section when a U6 for an IA firm is processed.	NASD, SRO, States, IA-Only Firms
VIEW INDIVIDUAL		
24	A "Final Resolution Date" column will be added to the <i>Disclosure</i> section.	ALL
25	The <i>Disclosure Summary</i> screen in the "Disclosure Only Individual" section will not display duplicate disclosures.	NASD, SRO, States
26	CRD will remove the "Dual AG/RA" Deficiency for individuals whenever the conflicting "AG" or "RA" position is terminated.	NASD, SRO, States, Firms (N/A to IA-Only firms)
27	CRD will correctly evaluate Training Periods when the individual holds overlapping employments.	NASD, SRO, Firms (N/A to IA-Only firms)
28	CRD will only send enrollments to Proctor for individuals with an open firm association.	NASD, SRO, Firms (N/A to IA-Only firms)
29	The pre-requisite positions for the SF and OP will now be the CS and the OR.	NASD, SROs, Firms (N/A to IA-Only firms)
30	The "NASD-IF" Deficiency will be applied when an individual has requested the "NASD-IF" and another Registered Representative position. The "NASD-IF" position will only be approved if the individual does not hold any other position.	NASD, SROs, States, Firms (N/A to IA-Only firms)
31	The "Current Employment Firms" column in the <i>View Individual Search Results</i> screen will now display a list of all firms for non-registered individuals employed by multiple firms.	ALL (N/A to IA-Only firms)
32	CRD will now properly set the CE window for Principal positions.	NASD, SRO, Firms (N/A to IA-Only firms)

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33	The word "Present" will now display for NRF (Non Registered Fingerprint) firm associations that are active on the <i>Office of Employment History</i> screen.	NASD, Firms (N/A to IA-Only firms)
34	CRD will allow a jurisdiction user to create a S63 or S66 Exam Deficiency for an AG and a S65 or S66 Exam Deficiency for an RA position.	States
35	Individuals with a "Purged" status will terminate if the member firm is terminated.	NASD, Firms, State, SRO
36	The "IF" (In-firm Delivery) position will be added as an NYSE position.	NASD, SROs, Firms (N/A to IA-Only firms)
37	CRD will close the current exam window after the posting of a failed result to that window.	NASD, SRO, Firms
38	The Series 86 Exam and Series 87 Exam for the Research Analyst position will require a 30 day wait window each time the exam is taken and not passed.	NASD, SRO, Firms (N/A to IA-Only firms)
39	CRD will open the Series 24 Exam window appropriately when the "GP" (General Principal) position is requested.	NASD, SRO, Firms (N/A to IA-Only firms)
40	CRD will not open both the Series 9 and Series 10 Exam windows when the "SU" (Sales Supervisor) position is requested and an individual already has a passed Series 9 Exam.	NASD, SRO, Firms (N/A to IA-Only firms)
41	A 3-year Principle Training Period (PRTPT) requirement will be added to the AMEX GP (General Principle) & IP (Investment Principle) positions.	SRO, Firms (N/A to IA-Only firms)
42	Dually registered individuals, who already have registrations with both the predecessor and successor firm and who transfer additional registrations, will use the fingerprint tracking date of the successor for those registrations transferred.	NASD, Firms (N/A to IA-Only firms)
43	Non-CE qualifying registration requests will not receive CE inactive deficiencies.	NASD, SRO, Firms (N/A to IA-Only firms)
44	Individual NYSE "AM" (Allied Member) or "AP"(Approved Person) registrations that Mass Transfer will now display in View Individual if the successor's NYSE registration is "Pending."	NASD, Firms (N/A to IA-Only firms)
45	The primary member of an Simultaneous Filing Group (SFG) will no longer be charged the CE Fee for individuals who are registered with affiliated firms.	NASD, Firms (N/A to IA-Only firms)
46	The description for "T_NOREG" on the <i>Individual Registration Statuses</i> screen and in CRD Help will be changed to "A status indicating the previous registration status was Deficient, Pending or Purged. "	NASD, Firms
47	Any open CE session windows for individuals will be closed if the individual was CE Inactive and terminated from the industry for more than two years without having been CE2YEARTERMED.	NASD, Firms (N/A to IA-Only firms)
48	CRD will not display the Firm Name and Firm CRD in the CE <i>Current Status</i> screen for individuals who have a "NRF" (Non-Registered Fingerprint) firm association or a BD Schedule A/B firm association.	NASD, Firms (N/A to IA-Only firms)
49	The words "Prehire Search" in the <i>Individual Search Criteria</i> screen will be changed to read "Pre- Registration".	NASD, Firms (N/A to IA-Only firms)
50	BD and Joint BD/IA firms will have the ability to view all disclosure counts on the Disclosure Counts Historical Disclosures section on the <i>Composite Information</i> screen.	Firms (N/A to IA-Only firms)
51	The appropriate "CE" (Continuing Education) dates will be created for graduated individuals if they request a principal position for the first time. Previously, some individuals' CE dates were not being set correctly.	NASD, Firms (N/A to IA-Only firms)
52	The "BM" (Branch Manager) position will not receive deficiencies when all prerequisite conditions are met.	SRO, Firms (N/A to IA-Only firms)
53	The "Occurrence Number" on the <i>Current Disclosure Summary</i> screen will not display twice for CHRI records.	NASD, State, SRO, Firms (N/A to IA-Only firms)
54	The system will perform qualification checks for the "ET" (Equity Trader) position even if the individual previously held registration.	NASD, Firms (N/A to IA-Only firms)
55	The Pre-Registration check box for non-member firms will function properly.	Firms (Non Members), NASD
56	The "Registrations Summary with Current Employers" section will only list the employers with which the individual currently has a registration. It will not display employments for Non-Registered Fingerprint or Schedule A/B persons.	NASD, Firms, State, SRO
57	CRD will place a "CE Deficiency" if an individual has a CE Inactive status at the time of a CE qualifying registration request.	NASD, State, SRO, Firms (N/A to IA-Only firms)
58	CRD will not display duplicate CHRI entries for the same barcode submitted by a firm.	NASD, State, SRO, Firms (N/A to IA-Only firms)
59	CRD will update all firm association fingerprint records with the "Received" status for individuals with affiliated firms if a fingerprint card is submitted by an affiliate firm and not the filing firm.	NASD, State, SRO, Firms (N/A to IA-Only firms)
VIEW ORGANIZATION		
60	The reason for clearing a deficiency will now appear in the <i>Deficiency Detail</i> screen.	NASD, Firms (N/A to IA-Only firms)
61	CRD will remove any "Page 2" deficiency when an individual is removed from Schedule A/B.	NASD, Firms (N/A to IA-Only firms)
62	Applicable branch qualification deficiencies will be removed when a firm's branch supervisor is terminated and the branch is closed.	NASD, Firms (N/A to IA-Only firms)
63	Applicable branch address deficiencies will be removed when a firm's branch address is updated.	NASD, Firms (N/A to IA-Only firms)
64	The source of a U6 filing will display on the <i>Current Disclosure Summary</i> screen.	NASD, SEC, SRO, States, Firms
65	The system will display the Occurrence ID Number in the <i>Occurrence Composite</i> screen for Disclosure-Only Firm .	NASD, SEC, SRO, States, Firms
66	The system will clear a "Page 2" Deficiency if a person on the Schedule A submits a Form U4 for the firm.	NASD, Firms (N/A to IA-Only firms)
NON FILING INFORMATION		
67	A filter will be added to Regulatory Notes to distinguish between "Organization" Regulatory Notes and the "Individual" Regulatory Notes.	NASD, SEC, SRO, States
QUEUES		
68	In the Manual Approval Queue on the Registration Status pick list, " Approved" will display as the first item and "Abandoned" as the 2nd.	States, NASD

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69	The "Effective Date" of the registration will be updated when the date is entered in the Transition Approval Queue and the "Pending Firm Deficiency" status is chosen by the regulator.	States, Firms, NASD
70	IA-Only firms will not have access to the "Inactive Registrations Due to Missing Fingerprint Cards Notice Queue".	IA-Only Firms
71	In the Manual Approval Queue, "Jurisdiction Last Approval Date" will not be Null when the individual was previously registered and the previous registration with the state was terminated by a Mass Transfer.	States
72	Users associated with an SRO can see all CHRI and fingerprint records for individuals employed with a firm that is registered with the SRO.	SROs
73	CRD will not allow duplicate entries in the firm's Completed Exam Notice Queue.	Firms
NOTIFICATIONS		
74	A new Firm Notification has been added which will notify firms when a fingerprint card status changes to "RAPP".	Firms (N/A to IA-Only firms), NASD
75	A new Firm Notification has been added which will notify firms 30 days in advance of individual registrations that will purge.	Firms, NASD
76	The language on CE Firm Notifications will be updated to include the URL for the CE Queues.	NASD, Firms (N/A to IA-Only firms)
WEB EFT		
77	The system will no longer display a duplicate element "CRDFormResults" in .nrs files.	NASD, Web EFT Firms
78	The exam code will be added to the "Post Deficiencies Download" Report.	NASD, Web EFT Firms
79	The exam status date will be added to the "Post Exams" Report.	NASD, Web EFT Firms
80	Additional identifying information will be added to the status of the CRD form results from CRD including: CRD Number, Filing Type, Form Type, and CRD Reference Number.	NASD, Web EFT Firms
81	Schema definition and .xsd files will only be available to Web EFT Firm users. (NSG)	NASD, Web EFT Firms
82	Updated the .xsd and .pdf schema documents for NSG with the Release 6.0 changes.	NASD, Web EFT Firms
83	The following fields will be added to the "Individual Information" Report: File Creation Date, Fingerprint Status, Affiliate Firm Data, Private Residence Indicator, CE History, Future CE Information and the unique identifiers for Disclosure.	NASD, Web EFT Firms
84	The following will be added to the Schema Definition Document: The Series 86 and 87 Exams, the NASD and NYSE RS (Research Analyst) position.	NASD, Web EFT Firms
85	All CE results will be displayed in the "Individual Information" Report.	NASD, Web EFT Firms
86	Web EFT will no longer bypass the Web CRD "Completeness Check" error for the fingerprint exempt option.	NASD, Web EFT Firms
87	"File Upload" option will only be displayed in "/incoming" folder. (NSG)	NASD, Web EFT Firms
88	Attempting to upload a non-unique filename will result in a more user-friendly error message. (NSG)	NASD, Web EFT Firms
89	The "Post Enrollment" Report will now display all active CE enrollments if the representative holds a current employment and the CE session is available to be taken on Proctor.	NASD, Web EFT Firms
90	The "Post Approvals" Report will now display the individual's Approval date.	NASD, Web EFT Firms
IARD		
VIEW ORGANIZATION		
91	IARD will now display the "Limited Liability Partnership" as selected in "Form Filing History" when the firm indicates the firm is an LLP on the Form ADV.	SEC, States, Firms
92	Deleted "Books & Records Locations" will be displayed appropriately in the "Print Historical", Schedule D Page .	SEC, States, Firms
93	Updates to the "Part 1B State Registration" and to "Additional Information - Part 1B" will correctly set the section updated as Organization Information rather than State Registration in Filing History.	States, Firms
94	There will be a validation for invalid characters on the <i>Organization Identifying Information</i> screen.	SEC, States, Firms
95	The "Information Books & Records Locations" view link will no longer result in a GSE when using Netscape.	SEC, SRO, States, Firms
96	The "View BD" link will work correctly when the firm's record is reviewed.	SEC, SRO, States, Firms
97	SEC Number will display "801"- preceding the SEC Number on the Industry Affiliation screen.	SEC, States, Firms
FORM ADV/ADVW		
98	ADV Amendment filings will now have a "Completeness Check" to ensure the firm has at least one active registration in order to submit the filing.	Firms
99	Schedule A will be revised to read "Each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required and cannot be more than one individual), director and any other individuals with similar status or functions;"	SEC, States, Firms
100	Typos on the ADV and ADVW will be corrected.	SEC, States, Firms
101	The summary page for "Criminal DRPs" will have the column title changed to "Date First Charged".	SEC, States, Firms
102	ADV-W Form Instructions for "Item 3" will have the font size adjusted.	SEC, States, Firms
QUEUES		
103	The "Remove" button functionality, similar to Web CRD, will be added to the IARD Queues .	SEC, States
104	The firm "Registration" and "Notice" filing status will be properly updated when the status changes from "Active" to "Inactive".	SEC, States, Firms
IAPD		
105	The reference hyperlink to "PDPI" on IAPD site will be changed to "NASD BrokerCheck".	SEC, States, Firms
OTHER		
106	The password criteria hint text will be updated to read "Passwords cannot contain your User ID, First, Middle or Last name".	All
WEB CRD/IARD RELEASE 6.0 TECHNICAL ENHANCEMENTS		
107	Upgrade Oracle version from 8.1.7 to 9.2.0 Web CRD and Web IARD's Database Management System (DBMS) was updated to leverage the expanded management, availability and performance features of Oracle release 9.2.	All

108	Prepare Code base for .Net Upgrade In preparation for migration to the .Net platform, some of the Web CRD and Web IARD's software interfaces were updated to reflect practices encouraged or enforced on that platform.	All
109	Upgrade Appworx from 4.6.2 to 5.1.1 Web CRD and Web IARD's asynchronous processing agent was updated to a more current release, providing greater manageability, reporting features and performance.	All
110	Incorporate New Reporting Product to Replace BRIO SQR Implemented several reports using Data Dynamics' Active Reports for .Net, demonstrating that tool's ability to reduce the effort necessary to create and enhance reports. The end result is the effort required to create new reports and enhance current reports has been significantly reduced.	All
111	System Optimizations Updated load and execution settings of system DLLs deployed in COM+ library packages to realize greater reliability and performance.	All
112	System Enhancements Leveraged Oracle 9.2 features to ensure the CRD database is compliant with NASD disaster recovery requirements.	All