

**Web CRD®/IARD<sup>SM</sup> Release 5.2 Changes**  
**Deployment Date 10/13/2003**

|    | Description                                                                                                                                                                                                                                                           | Community                                |
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|    | <b>Accounting</b>                                                                                                                                                                                                                                                     |                                          |
| 1  | The NASD Amendment Fee of \$0 will no longer be visible in the Accounting Charge screen.                                                                                                                                                                              | Firms , NASD                             |
| 2  | The Disclosure Review Fee will be charged for all U5 Amendment Filings with disclosures.                                                                                                                                                                              | Firms (N/A to IA-Only firms), NASD       |
|    | <b>FORM FILING</b>                                                                                                                                                                                                                                                    |                                          |
|    | <b>Form BD/BDW</b>                                                                                                                                                                                                                                                    |                                          |
| 3  | Added a Completeness Check to the Form BD to display an error message when a foreign entity is specified but a state is entered.                                                                                                                                      | Firms, NASD (N/A to IA-Only firms)       |
| 4  | CRD will not change a "Yes" answer in Item 10A Affiliates on the BD filing to a "No" after submission.                                                                                                                                                                | Firms (N/A to IA-Only firms), NASD       |
|    | <b>Form U4</b>                                                                                                                                                                                                                                                        |                                          |
| 5  | The following new AMEX positions will be added: GP, DP, IP, MP, LS, DR, MR, CS, CN, CD, LE, ET, OF, SA, PR, SC on the U4 and U5 Forms.                                                                                                                                | NASD, Firms (N/A to IA-Only firms), SROs |
| 6  | Items 7 & 8 of the Customer Complaint DRP will no longer be required for actions that commence as arbitrations/litigations.                                                                                                                                           | Firms, NASD                              |
|    | <b>Form U5</b>                                                                                                                                                                                                                                                        |                                          |
| 7  | The U5 termination fee will not be assessed unless an individual had held an Approved-Equivalent NASD registration. Approved Equivalent positions are positions in which the individual has a full or conditional status to do business, unless otherwise sanctioned. | Firms (N/A to IA-Only firms)             |
|    | <b>Form U6</b>                                                                                                                                                                                                                                                        |                                          |
| 8  | All DRPs for Organizations have been updated with various text changes to correspond with the language changes made in Release 5.1. for Forms U4 and U5.                                                                                                              | NASD, States, SEC, SROs                  |
|    | <b>IND NFI</b>                                                                                                                                                                                                                                                        |                                          |
| 9  | Withdrawing a "Temporary Registration" status will not create 2 pending status lines.                                                                                                                                                                                 | States, NASD                             |
|    | <b>VIEW INDIVIDUAL</b>                                                                                                                                                                                                                                                |                                          |
| 10 | The "Individual Search" will be optimized to enhance performance.                                                                                                                                                                                                     | ALL                                      |
| 11 | Language has been added to the "Composite" Screen that notifies users that the individual's Non-Registered Fingerprint Employment information may not be up to date.                                                                                                  | ALL (N/A to IA-Only firms)               |
| 12 | The "Fingerprint Cards" section on the Navigation Panel will display an error message ("No Fingerprint Cards Found") when there is no fingerprint card posted on an individual's record.                                                                              | ALL (N/A to IA-Only firms)               |
| 13 | The CE NFA Element Results Screen will not display duplicate records.                                                                                                                                                                                                 | ALL (N/A to IA-Only firms)               |

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| 14 | Created a new fingerprint status of "NMCK" indicating that a name check search will be conducted by the FBI for this individual. The "NMCK" status will be applied to an individual's fingerprint record after three (3) successive illegible ( "ILEG") fingerprint results have been returned by the FBI. "NMCK" replaces the exempt ("XMPT") fingerprint status on an individual's CRD record, and the individual remains exempt from the requirement to submit additional fingerprints. | Firms (N/A to IA-Only firms) |
| 15 | CRD will post results that are received for "Withdrawn" exams if the result was received within the exam window.                                                                                                                                                                                                                                                                                                                                                                           | Firms                        |
|    | <b>QUEUES</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                              |
| 16 | The Notice of Undelivered Fingerprint Queue will be updated to use the correct tracking date for fingerprints, which is the date the fingerprint option was selected on the U4.                                                                                                                                                                                                                                                                                                            | Firms (N/A to IA-Only firms) |
|    | <b>REPORTS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                              |
| 17 | The "Individual - Application Statistics" Report will be optimized to enhance performance.                                                                                                                                                                                                                                                                                                                                                                                                 | States                       |
| 18 | All reports will now incorporate the changes made to the Customer Complaint DRP.                                                                                                                                                                                                                                                                                                                                                                                                           | ALL                          |
|    | <b>Web EFT</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                              |
| 19 | The hyperlink to access the CRD Schema Definition Document and CRD/NSG Schema .xsd file will be removed from the Web EFT Secure Transport Site. Web EFT Firms will receive updates through email attachments until the hyperlinks are restored.                                                                                                                                                                                                                                            | Web EFT Firms                |
|    | <b>RENEWALS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                              |
|    | <b>FORM U5</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                              |
| 20 | Affiliated firms that have submitted a Full Post-Dated U5 will not be able to file a Partial U5 or U4 Amendment.                                                                                                                                                                                                                                                                                                                                                                           | NASD, Firms                  |
| 21 | Post-Dated Full Form U5s will terminate individuals with "Purged" registrations.                                                                                                                                                                                                                                                                                                                                                                                                           | NASD, Firms                  |
| 22 | Post-Dated U5 Termination Fees will be charged correctly for regulators that charge a Termination Fee.                                                                                                                                                                                                                                                                                                                                                                                     | NASD, AMEX, CBOE             |
|    | <b>Form BD/BDW</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                              |
| 23 | Registrations marked for Post-Dated terminations will be considered closed and regulators that have been marked will no longer receive Notices.                                                                                                                                                                                                                                                                                                                                            | NASD, Firms                  |
| 24 | Firms that become NASD approved after the Renewal Preliminary Statement will not be charged the NASD Late Fee.                                                                                                                                                                                                                                                                                                                                                                             | NASD, Firms                  |
|    | <b>REPORTS / RENEWAL STATEMENTS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                              |
| 25 | The following columns will be added to the "Renewals - Regulator Renewal Summary" Report: Firm Type, Firm Renewal Status and IARD Only – Firm Type.                                                                                                                                                                                                                                                                                                                                        | SROs, States                 |

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| 26 | Firms with Pending NASD registrations will not be part of the Renewals Preliminary and Final Extracts unless they are approved with a driving regulator. A driving regulator is an SRO whose participation in the NASD Renewal Program will pull a broker/dealer into the "Renewal Extract" if the firm is registered (approved) with the SRO.                          | NASD, Firms,SROs, States     |
| 27 | The "AG" position has been replaced with "RR" (Registered Representative) on the BD Summary page of the "Regulator Renewal Summary Report" for consistency.                                                                                                                                                                                                             | SROs,States                  |
| 28 | The Organization CRD Number will display properly in the "Branch Renewal" Report.                                                                                                                                                                                                                                                                                       | Firms (N/A to IA-Only firms) |
| 29 | If a firm is part of the Preliminary Renewal Extract with an account status of either "Deficient" or "Underridden" and its Renewal assessment is \$0.00, the firm will not Fail to Renew.                                                                                                                                                                               | NASD, Firms                  |
| 30 | The Renewals Program will calculate the Sole Proprietor waiver and will not assess Renewal fees.                                                                                                                                                                                                                                                                        | IA-Only Firms                |
| 31 | All BD Registrations and IA Notice Filing effective dates will reflect 12/31 in the year that the Post-Dated filings were submitted.                                                                                                                                                                                                                                    | Firms                        |
| 32 | Approved Pending Results status will be added to the Renewal Program. This means that any individual with the status will be included in the Renewal Program.                                                                                                                                                                                                           | ALL                          |
| 33 | The RA Sole Proprietor Fee Waiver information will be added to the "CRD Renewals-Regulator Renewal" Report.                                                                                                                                                                                                                                                             | IA-Only Firms                |
| 34 | The RA Sole Proprietor Fee Waiver information will be added to the Renewal Statement.                                                                                                                                                                                                                                                                                   | IA-Only Firms                |
| 35 | The RA Sole Proprietor Fee Waiver information will be added to the "CRD Renewals-Firm Renewal" Report.                                                                                                                                                                                                                                                                  | IA-Only Firms                |
| 36 | Modifications have been made to the "Branch Renewal" Report to ensure the report pulls correct data from the Renewal period.                                                                                                                                                                                                                                            | Firms                        |
| 37 | AMEX-only firms will participate in the NASD Renewal Program                                                                                                                                                                                                                                                                                                            | AMEX-OnlyFirms               |
|    | <b>QUEUES</b>                                                                                                                                                                                                                                                                                                                                                           |                              |
| 38 | Post-Dated U5 disclosures will be displayed in the "Disclosure Review Notice Queue" upon submission of the Form U5.                                                                                                                                                                                                                                                     | NASD, Firms                  |
| 39 | Post-Dated BDW processing will not delete saved BDW Notices.                                                                                                                                                                                                                                                                                                            | SROs, States                 |
|    | <b>OTHER</b>                                                                                                                                                                                                                                                                                                                                                            |                              |
| 40 | CRD will not update registrations during the Renewal Program shutdown period. Registrations that change from Deficient-Dual to either Pending or Approved due to a termination of the dual registration by the Post-Dated Form U5 processing or by the Failure to Renew processing will have a status date of 01/01 of the new year following Renewal final processing. | NASD, Firms                  |
| 41 | Web EFT Filings will be disabled during the Renewal Program shutdown period.                                                                                                                                                                                                                                                                                            | Firms                        |
| 42 | The Web EFT Reports will not be generated during the Renewal Program shutdown Period.                                                                                                                                                                                                                                                                                   | Firms                        |