

Web CRDSM Release 4.0 Changes

Changes	User Community
Form Filing - General	
1. Added revised U-4 and U-5 Forms with version date of 03/2002.	Firms, States, SROs
2. The system will now track the name of the creator and submitter of all form filings.	NASDR - CRD Support Only
3. In addition to the "Delete Pending Filings" confirmation page, the system will redirect the user to the "Pending Filings" page with the updated results when a user selects to delete the filing.	All
4. EFT Batch Form Filing process for Forms U-4/U-5 requires the member firm to submit the signature/name of appropriate signatory and includes a completeness check.	Firms
5. Modified EFT Batch Form Filing to accept RA positions. Users can now add RA positions on U-4s or remove RA positions on U-5s through batch processing.	Firms
6. Removed SSN from "Form Filing Search Results" screens unless searching by SSN. For privacy reasons the SSN only displays in the "Form Filing Search Results" when the SSN was entered as the search criterion.	Firms
7. Added links to "Specific Instructions" and "Explanations of Terms" for all blank form types.	Firms
8. On the "Historical Filing Search Results" screen, the very first filing submitted after Release 4.0 will not contain any "View Changes" hyperlinks.	Firms, States, SROs
Form U-4	
9. The Form U-4 will not allow the birth date to be a future date.	Firms
10. The "From" and "To" dates will now appear in the format MM/YYYY when viewing and printing Employment History.	Firms
11. The system will now allow the user to enter any other affiliated firm in the Affiliated Firms section.	Firms
12. Form U-4 DRP hyperlinks 'Click here to view question text' will not appear in the Print Preview or Print Historical modes.	Firms
13. Enabled Registered Adviser (RA) position checkboxes in the "Jurisdiction Registration" section of Form U-4.	Firms
14. Added Registered Adviser "Designation Section".	Firms

15. Created new Relicensing Filing Types: Relicense All , Relicense CRD and Relicense IA	Firms
16. “View Changes” and “Redlining” will display properly for Registrations, Jurisdiction, and Exams.	All
17. The Applicant Name in the U-4 pg2 BD Execution Signature area will now appear in the order of First, Middle, Last underneath the Name of Applicant.	Firms
18. U-4 completeness check will include “Designation” checking Completeness Check. The system will look for a matching name, SSN and CRD designation record. If no record is found, the Completeness Check will provide a descriptive error message. If a record is found, the Completeness Check will pass.	Firms
19. In U-4 Print Preview and Print Historical, the Page 1 Affiliates are displayed on a one-by-one basis with a detailed view of each Affiliate.	Firms
20. Added a new filing type Concurrence Filing. The filing will show all sections except the Concurrence Signature section as “read only”. The Concurrence Signature Section can be completed.	Firms
Form U-5	
21. Enabled the Registered Adviser (RA) positions checkboxes on the U-5 Filing.	Firms
Form BD/ BDW	
22. The text of FOREIGN is now added as a valid IRS number field value on the BD filing.	Firms
Form U-6	
23. The U-6 Regulatory Action DRP automatically populates the logged in regulator's name in the “Regulatory Action Initiated By” field.	States, SROs, SEC, NASDR
24. The “Pending U-6 Filings Search” screen will now contain all U-6 types listed with an associated radio button to search by each type of U-6.	States, SROs, SEC, NASDR
25. The U-6 Print Preview/Print Historical Navigation Bar changed to have links by Section Name rather than page number.	States, SROs, SEC, NASDR
26. The only DRPs that show up on any U-6 filing (for firms or individuals) will be those that were added or modified as part of that U-6 filing.	States, SROs, SEC, NASDR
Form NRF	
27. The “Termination” screen check box and Termination Date Fields may be unchecked and deleted if selected in error.	Firms
28. NRF Print Preview/Print Historical Navigation Bar changed to have links by Section Name rather than page number.	Firms

View Individual	
29. A new Designation History Page was added to show the designation information for each filing that contained IAR (RA) designation information.	All
30. The Organization Name in the Office of Employment Address History will now display the name of the Organization as it was at the time of the individual's employment.	All
31. IA-Only firm will not be able to search for individuals using the "Prehire" check on the Search Screen.	IA- Only Firms
32. View Individual U-4 Questions and Occurrence Composite will be modified to accommodate for Form Versioning.	All
33. Added a message to the Composite Information screen when there is more than one firm association for registrations for dually registered individuals.	All
34. Composite will now display the Material Difference flag for individuals.	All
35. Composite will display Registered Advisers (RAs) as a position type.	All
36. The Contact Person and phone number that are submitted as part of a U-5 EFT Batch Form Filing submission will be properly displayed in View Individual.	All
View Organization	
37. Added paging to the Branch Query to allow the ability to get the first 25 branches without putting in any search criteria.	All
38. Added the capability of linking from the SSN if a CRD# is not provided in Direct Owner/ Executive Officers & Indirect Owner Schedule A/B.	All
39. Modified Organization Search to determine if an organization link should open CRD's View Organization Information or IARD's View Identifying Information. IA- Only firms should go to IARD. All other firms should go to CRD.	States, NASD, SEC
Queues	
40. Added the ability to uncheck the checkbox for the "Show only notices with a status of (Clear, etc)" in the Fingerprint Status Received from FBI Notice Queue search screen.	Firms
41. Changed the firm Notice of Undelivered Fingerprint Cards Queue column name to Days Remaining from Number of Days .	Firms
42. New "CRD Only", "IARD Only" and "Both" search criteria added to queues	Firms
43. Added new registration category for Queues, RA, AG or Both.	States, NASDR
44. Added a new queue- Other Firm U4 Filing Notice Queue , which lists all the dually registered individuals with the firm that have had a filing made by another firm.	Firms

45. Firm Queue changes for IA-Only Firms: IA-Only firms will not be able to view Fingerprint Notice Queues (All Queues), and Continuing Education Queues (All Queues).	IA-Only Firms
46. Added "Status" column to the Firm Withdrawal or Termination Notice Queue.	Firms
47. Added new Queue: Transition Approval Queue.	States
48. Added new Queue: Transition Termination Queue.	States
49. Queues that contains the All with the following types of disclosure buttons will have the associated radio button activated upon the selection of the checkbox.	States, SROs, NASDR
50. The Update Status/ Effective Date column on the U-5 Manual Queue Results Page contains new status choices in the drop down box (Termed, Revoked, Termination Requested).	States
51. Updated Queue Totals Pages to show subtotals for AGs and RAs	States
52. Updated the Disclosure Notice Queues by adding IAR review method options. Jurisdictions will have the ability to set the review method on an IAR or a CRD individual separately.	States, SROs
53. Added a new queue, The Delinquent U-5 Notice Queue which displays individuals who started employment with a new firm, but the prior firm has yet to file a U-5 for the individual.	States
54. Added a Last Approval Date column to the Jurisdiction Manual Approval Queue	States
55. Added a Discrepancy flag to the SRO and Jurisdiction Manual Approval and Disclosure Notice Queues Results Page.	States, SROs
56. The Waivable Deficiencies Queue has been modified to allow retrieval of individuals by deficiency type.	States, SROs, NASDR
57. Added "paging" to the Organization Queues.	States, SROs
NFI- Individual	
58. New Site Map link will appear for Transition Registrations.	Firms
59. System will not let a non-IA Firm transition an individual.	Firms
60. The general CRD Search Screen will be available in the Transition Screen.	Firms
61. Firms will be able to create an individual record if the individual is not in CRD in the Transition Screen.	Firms
62. Office of Employment Address fields will appear if the individual is not associated with the firm in the Transition Screen.	Firms
63. Employment Start Date is required in the Transition Screen if individual is not already registered as a Broker Dealer Agent (AG) with the firm.	Firms
64. If the firm doesn't have an active IA registration in a state, the respective state for the RA box will not be able to be checked, and the box will be shifted more to the left. The boxes that the firm is registered with will be more	Firms

centered, and will be enabled so that a check mark can be entered.	
65. If the Registered Adviser (RA) individual goes to transition and the state box is already checked (grayed/disabled) it means the RA already holds or has held an IA registration in the system (i.e, the individual has filed an on-line U-4 before transitioning and is already registered with that state).	Firms
66. The states that do not register investment adviser representatives (RAs) will not appear in the Transition screen.	Firms
67. The CRD Number located at the top left corner of the Non-Filing Information screen will have a hyperlink that links users to View Individual.	All
68. In Regulatory Notes, the default for Type was changed to “none/blank” in order for the user to select the type. This was done to prevent Regulatory Notes from being created as the wrong Note type.	States, SROs, NASDR
NFI- Organization	
69. Added a new Firm Notification option for individuals that are dually registered to notify the firm when a filing is made by another firm on behalf of the individual. The notification will be sent to firm’s Other U4 Filing Notice Queue .	Firms
70. The Organization Number located at the top left corner of the Non-Filing Information screen will have a hyperlink that links users to View Organization.	All
71. In Regulatory Notes, the default for Type was changed to “none/blank” in order for the user to select the type. This was done to prevent Regulatory Notes from being created as the wrong note type.	States, SROs, SEC, NASDR
72. Print Preview will display, by section, a “read-only” version of the U-4 filing. Users may select any or all sections of the filing to print.	All
Reports	
73. Added an additional option so that users can request the Individual Snapshot Report by inputting an individual's Social Security Number. Previously users only had the option to select by CRD Number.	All
74. Changed the Scheduled Exam Queue Report format to landscape.	Firms, NASDR
75. The Scheduled Exam Queue “Download” and the Scheduled Exam “Report” will now reflect all open exams for individuals listed in the Scheduled Exam Firms Queue.	Firms, NASDR
76. Added type of branch and country where branch is located to the Branches Within Firm Report .	Firms
77. IA-Only Firms will not have the ability to request Prehire information on Registered Advisers (RAs). IA-Only firms cannot request an Individual Snapshot on an individual that is not an employee.	IA-Only Firms
78. The Glossary, Request Reports and View Reports now have a link to Help in CRD and IARD.	All
79. The Reschedule Exam Report has been updated to display an IA Firm's name if the individual is registered with	Firms, NASDR

an IA Firm. If the individual is IA-Only the firm's name will not be displayed in the CRD category.	
80. Added a text message on the Composite Information Section of the Individual Snapshot Report if an individual has multiple firm associations. Also added to the report is an indicator as to whether or not a Discrepancy Flag exists for the individual. An indicator has also been added to the specific Occurrence.	All
81. Added a text message on the Composite Information Section of the Individual Snapshot Report and the Individual Database Extract if an individual has multiple firm associations. Also added to the report is an indicator as to whether or not a Discrepancy Flag exists for the individual. An indicator has also been added to the specific Occurrence.	States, NASDR, SROs, SEC
82. Created a new report, Individual Transition Status by Firms , which provides a Transition status choice of either: Transitioned or Not Transitioned.	Firms, States, NASDR
83. Expanded the descriptions in the Reports Glossary to contain more detail.	All
84. Updated the following reports updated to display an IA Firm's name if the Individual is registered with an IA Firm: Individual Roster (Download)-Firms, Current Statuses by Registration Category, Dual Registered Individuals Report, Individual Applications Processed, Individual Termination by FIRM and Identification of New, Individual Approvals by FIRM, Individual Home State, Individual Application Statistics, Individual Roster Download, Registered Individual Disclosure, Regulator Position Download, Recent Hires by Firm, Mass Transfer Individual and Individual by Exam. Please Note: If the individual is IA-Only the firm's name will not be displayed in the CRD category	States,SROs, NASDR
85. Changed the Individual Roster - Active Registrations Report name display format to: Last Name, Suffix, First Name, Middle Name.	States, SROs, NASDR
86. Enhanced the reports entitled " Individual Roster - Active Registrations " and " Individual Roster - Active Registrations (Download) " to enable selecting a specific registration category, as well as "All" registration categories	States, SROs NASDR
87. The Disbursement Detail Report will separate the IA charges from the rest of the report	States, NASDR
88. Revised the Current Statuses by Registration Category Report to display the type of deficiency for deficient individuals in the state.	States, SROs, NASDR
89. Revised the Dual Registered Individuals Report so it can be requested for all AGs, IAs (sole proprietors) and RAs who are dually registered in a particular state.	States, SROs,
90. Added "firm" as a parameter to the Current Statuses by Registration Category Report .	States,SROs
Accounting	
91. The Accounting "Organization Search" function now includes search tips. A new hyperlink is on the "Search by Organization Name" field that hyperlinks to "Tips for Quick Search".	NASDR