Web CRD Release Notes
Release 2.2 – 10/2001

States

Form Filing

On the Form U6 CRD Organization Search screen the cursor default will be the Firm Name Field

Individual NFI

Corrected duplicate messages that were displaying when user attempted to change a registration status during renewals processing.

State can now update a registration status to Suspended

Queues

The Created Date for Converted Regulatory Notes will no longer change to the current date when selected.

Correct problem with incorrect Queue Disclosure counts.

Notifications

NASD districts, Jurisdictions, and SROs will not receive duplicate Regulatory Notifications.

Reports

Adds firm name to the top of each page of the Schedule E Filings report.

Incorrect details for SEC number, address and Schedule E Filing information will be corrected on Schedule E Filing report.

Mass Transfer lists will now purge 60 days after the Mass Transfer. The lists currently purge on the 30th day after the Mass Transfer.

Other Business Names that were removed via a Form BD amendment will no longer appear in View Organization.

Fixes discrepancy with Employment History End Date on Individual Snapshot report.

There will be some data element and layout changes for IARD in the following CRD Renewals Reports -Firm Renewal Roster/Download, Regulator Renewal Payment Summary, Regulator Renewal Roster/Download, Regulator Renewal Summary, Regulator Non Renewable Firms.

All renewals reports will now have PDF capability.

View Individual

Fixed problem where individual's registration status remained Approved Pending Prints although the NASD had received the fingerprint card.

The Office of Employment History screen will now display the firm name that existed when the individual was employed by the firm.

If an individual is requesting registration with a regulator and the firm's status with that regulator is Withdrawal Requested, the individual will receive a pending firm deficiency for that registration request.

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

In View Individual Registration Summary screen, both the summary list and detail list of firms will appear in chronological order.

The Help Link will now direct the user to Help from Exam History, Registration Comments and Regulatory Notes in Individual Query.

Registrations that are approved as part of the post dated U5 process will receive a date of 01/01 of the next year.

Removed hyperlinks from form filings that were converted

View Organization Info

Other Business Names that were removed via a Form BD amendment will no longer appear in View Organization.

In View Organization Direct and Indirect Owners screens, the hyperlinks will now act uniformly opening a new browser window when selected

An organization level Page 2 Deficiency will appear under Organization deficiencies. Currently the Page 2 deficiencies only appear under the Page 2 Deficiency option

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

Header for BD with DRPs will display the Received date

In Historical BD filings the Succession Information will only appear once and will not be duplicated

View Organization Disclosure Composite will only show the latest filing and not all the amendments.

New status of Withdrawal Requested. This status will be used when a firm files a BDW requesting termination with a regulator and the firm's status with that regulator is No Stat or Pending.

Mass Transfers are inserting the incorrect date for the individual registration end date when the registration status is Terminated without registration.

Add new Update Date and Current Status fields to Schedule E Information in View Organization

SROs

Form Filing

U6 Arbitration DRP will correctly display the decimal point for the Compensatory Damage Amount field

On the Form U6 CRD Organization Search screen the cursor default will be the Firm Name Field

Individual NFI

Corrected duplicate messages that were displaying when user attempted to change a registration status during renewals processing.

Queues

The Created Date for Converted Regulatory Notes will no longer change to the current date when selected.

Correct problem with incorrect Queue Disclosure counts.

Notifications

NASD districts, Jurisdictions, and SROs will not receive duplicate Regulatory Notifications.

Mass Transfer lists will now purge 60 days after the Mass Transfer. The lists currently purge on the 30th day after the Mass Transfer.

Fixes discrepancy with Employment History End Date on Individual Snapshot report.

There will be some data element and layout changes for IARD in the following CRD Renewals Reports -Firm Renewal Roster/Download, Regulator Renewal Payment Summary, Regulator Renewal Roster/Download, Regulator Renewal Summary, Regulator Non Renewable Firms

All renewals reports will now have PDF capability.

View Individual Info

Fixed problem where individual’s registration status remained Approved Pending Prints although the NASD had received the fingerprint card.

The Office of Employment History screen will now display the firm name that existed when the individual was employed by the firm.

If an individual is requesting registration with a regulator and the firm’s status with that regulator is Withdrawal Requested, the individual will receive a pending firm deficiency for that registration request.

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

In View Individual Registration Summary screen, both the summary list and detail list of firms will appear in chronological order.

The Help Link will now direct the user to Help from Exam History, Registration Comments and Regulatory Notes in Individual Query.

Registrations that are approved as part of the post dated U5 process will receive a date of 01/01 of the next year.

Mass Transfers are inserting the incorrect date for the individual registration end date when the registration status is Terminated without registration.

Removed hyperlinks from form filings that were converted

View Organization Info

Added validation to the View Organization View History Search screen that will eliminate GSEs.

Other Business Names that were removed via a Form BD amendment will no longer appear in View Organization.

In View Organization Direct and Indirect Owners screens, the hyperlinks will now act uniformly opening a new browser window when selected

An organization level Page 2 Deficiency will appear under Organization deficiencies. Currently the Page 2 deficiencies only appear under the Page 2 Deficiency option

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

Header for BD with DRPs will display the Received date and not the filing date.

View Organization Disclosure Composite will only show the latest filing and not all the amendments.

No details will appear on Initial BD filings for Schedule C in View History.

In Historical BD filings the Succession Information will only appear once and will not be duplicated

Fixed problems with Redlining of Schedule E changes

New status of Withdrawal Requested. This status will be used when a firm files a BDW requesting termination with a regulator and the firm's status with that regulator is No Stat or Pending.

Add new Update Date and Current Status fields to Schedule E Information in View Organization

SEC

<u>Notifications</u>

NASD districts, Jurisdictions, and SROs will not receive duplicate Regulatory Notifications.

<u>View Organization Info</u>

Added validation to the View Organization View History Search screen that will eliminate GSEs.

Other Business Names that were removed via a Form BD amendment will no longer appear in View Organization.

In View Organization Direct and Indirect Owners screens, the hyperlinks will now act uniformly opening a new browser window when selected

An organization level Page 2 Deficiency will appear under Organization deficiencies. Currently the Page 2 deficiencies only appear under the Page 2 Deficiency option

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

View Organization Disclosure Composite will only show the latest filing and not all the amendments.

No details will appear on Initial BD filings for Schedule C in View History.

In Historical BD filings the Succession Information will only appear once and will not be duplicated

Fixed problems with Redlining of Schedule E changes

New status of Withdrawal Requested. This status will be used when a firm files a BDW requesting termination with a regulator and the firm’s status with that regulator is No Stat or Pending.

Add new Update Date and Current Status fields to Schedule E Information in View Organization

Firms

Accounting

Fixed problem with incorrect charging of NASD Late U5 fees.

A text field labeled Details will be added to the Transfer Detail Screen and will display additional text from People Soft describing any funds transfer between NASD accounts.

Form Filing

Allows a firm to close branches during renewals period with a postdated effective date of 12/31 of the current year. Branches with a future close date of 12/31/xxxx will not close until 12/31 of the current year.

When entering a CRD number for a firm in the Clearing Arrangement on Schedule D, the system will display the firm name and not an individual's name.

Added a completeness check to the Control affiliates section requiring that 10A/10B be answered "yes" when there are non-terminated details for Bank or Business Affiliates.

Added a completeness check to the Civil Judicial DRP to require the monetary fine field be completed when the sanction is fine.

Created a new form type, Schedule E only filing.

Print Friendly for BD Affiliates will now display the BD Affiliates page

Print Friendly for BD Create New Control Affiliate will now display the Create New Control Affiliate page

The state names on the BDW Jurisdiction page will align correctly

Corrected GSE on BD Successions page when an invalid CRD number was entered. The user will now receive an error message.

When clicking on the completeness check for "Industry Arrangements Question 7 this question was answered No, any corresponding details must be expired or non-existent.", the user will no longer be directed to a blank page. They will be directed to the Arrangements page.

The Save button will now be the default button on the BD/Industry Arrangements page.

Fixed typo in BD completeness check error message when data has been updated

Site map will now say “Page 2 Amendment for Schedule A/B” and “Page 2 Initial for Schedule A/B” and not “Page 2 Amendment” and “Page 2 Initial”

Postdate U5 Full filings will close the individual employment with the U5 terminated date of 12/31 of the current year.

Affiliates will now be deleted when the firm files a BD amendment and provides a term date for the affiliate on Schedule D.

On BD Print Preview for DRPs the system will now display the checked box for “Applicant and One or more control affiliates”

Corrected problem where an Industry Arrangement that is listed as an entity, on subsequent BD filings, is being changed to individual.

Fixed data entry problems with BD DRP Control Affiliate section

<u>Notification</u>

Correct misspelling on the Firm Notification screen in Organization NFI.

<u>Queues</u>

GSE will no longer occur in the SFG Retirement queue.

<u>Reports</u>

Adds exam information to Individual Roster – Firms report.

Fixes discrepancy with Employment History End Date on Individual Snapshot report.

There will be some data element and layout changes for IARD in the following CRD Renewals Reports -Firm Renewal Roster/Download, Regulator Renewal Payment Summary, Regulator Renewal Roster/Download, Regulator Renewal Summary, Regulator Non Renewable Firms.

All renewals reports will now have PDF capability.

The header information will be corrected for Individual Roster – Firms Report

The firms will now have the ability to request Renewal reports.

Added a disclaimer to the top of the Billing Code Detail report regarding possible inexactnesses in data due to SFG firms and other discounts that are not reflected in the report.

Add a disclaimer to the top of the Billing Code Summary report regarding possible inexactnesses in data due to SFG firms and other discounts that are not reflected in the report.

<u>View Individual Information</u>

The S66 exam deficiency will no longer be retained when an individual relicenses. The individual will be scheduled with the S63 with the new firm unless the S66 is explicitly requested on the Relicensing filing.

The Office of Employment History screen will now display the firm name that existed when the individual was employed by the firm.

If an individual is requesting registration with a regulator and the firm's status with that regulator is Withdrawal Requested, the individual will receive a pending firm deficiency for that registration request.

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

Individuals' Employment History records will no longer be closed during a Mass Transfer.

Firms performing a pre-hire search on an individual will be able to view SFG Details and information related to firms that have an ampersand in their name.

In View Individual Registration Summary screen, both the summary list and detail list of firms will appear in chronological order.

The Help Link will now direct the user to Help from Exam History, Registration Comments and Regulatory Notes in Individual Query.

Registrations that are approved as part of the post dated U5 process will receive a date of 01/01 of the next year.

Fixed problem where an individual was held deficient for a GS Position, when requesting the PG position and holding the RG position.

Removed hyperlinks from form filings that were converted

View Organization Info

Added validation to the View Organization View History Search screen that will eliminate GSEs.

Other Business Names that were removed via a Form BD amendment will no longer appear in View Organization.

In View Organization Direct and Indirect Owners screens, the hyperlinks will now act uniformly opening a new browser window when selected

An organization level Page 2 Deficiency will appear under Organization deficiencies. Currently the Page 2 deficiencies only appear under the Page 2 Deficiency option

Adds a link to the navigation panel in Individual and Organization Query, which will allow the user to navigate to the Request Snapshot screen for an individual or a firm.

Header for BD with DRPs will display the Received date and not the filing date.

View Organization Disclosure Composite will only show the latest filing and not all the amendments.

Back office individuals were being inserted into the Mass Transfer list multiple times. They will now appear only once.

Dually registered individuals will only appear in the Firm mass transfer list if they have a registration with the Predecessor organization.

No details will appear on Initial BD filings for Schedule C in View History.

In Historical BD filings the Succession Information will only appear once and will not be duplicated

Fixed problems with Redlining of Schedule E changes

New status of Withdrawal Requested. This status will be used when a firm files a BDW requesting termination with a regulator and the firm's status with that regulator is No Stat or Pending.

A new Renewals extract process will be added for postdated Schedule E's

Add new Update Date and Current Status fields to Schedule E Information in View Organization