

Web CRD Release Notes
Release 2.1 – 07/2001

States

Form Filing

When saving an initial U6, the button will not change to amended.

When filing a U6 and click on items before the page finishes loading, the page will still be accessible.

In Print Preview, the U-6 Initial and Amended buttons will be displayed

Queues

Individuals who receive state or SRO approval through manual user intervention will not display in the SRO or Jurisdiction Automatic Approval queues.

Reports

View Reports performance enhancement

SROs

Form Filing

When saving an initial U6, the button will not change to amended.

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In Print Preview, the U-6 Initial and Amended buttons will be displayed

Queues

When a regulator's review method is super-automatic, all registrations with that regulator, regardless of individual disclosure, will get approved when the last deficiency is removed, regardless of NASD approval.

Individuals who receive state or SRO approval through manual user intervention will not display in the SRO or Jurisdiction Automatic Approval queues.

Reports

A New Termination for Cause Report for SROs will be available.

View Reports performance enhancement

SEC

Reports

View Reports performance enhancement

Firms

Form Filing

Firms will receive a completeness check when trying to add an affiliated adviser with whom the individual already has an active firm association.

The data will not disappear from the DRP after deleting a Control Affiliate.

System will not allow a branch to have a post-dated close date except during the renewals time frame.

U-4 submission will pass for those firms marking the S21 & S25 for NYSE.

The firms will receive the following message during renewals when filing a BDW: “During renewals, a firm can use a previous date, current date or post date. However, if using a post date it must be 12/31.”

The firms will receive the following message during renewals when filing a U5: “During renewals, a firm can use a previous date, current date or post date. However, if using a post date it must be 12/31.”

EFT Batch will process the ASE-GS.

The spelling of termination will be corrected on the U5.

Firm notifications will not send duplicate e-mails.

Reports

View Reports performance enhancement

CE Previously Inactive Individuals report will display those individuals who termed prior to the CE inactive end-date.

View Individual Information

The NYSE Pre-Training (PTP) & Training Periods (TP) will be set correctly.

Individuals will not be held deficient for the SU/BM incorrectly.

The date of termination will be displayed correctly for SFGs.

View Org Info

A branch deficiency will not exist for individuals who are branch supervisors of non-OSJ branches.