

Web CRD Release Notes

Release 2.0.8 – 04/2001

States

Individual NFI

In the NFI Individual Search Criteria page, “Firm CRD Number, Firm Name, Available States, and Selected States” will move to “Search by Name” row.

Queues

Records with Regulatory Notes will be flagged appropriately.

The printer-friendly will show the appropriate pages within any queues.

View Individual Info

For all individual searches, if the result only contains one entry, the user will be directed to the individual’s composite.

Red lining is now working properly on all types of DRPs.

When viewing a historical U4 filing, the system will no longer display duplicate sections for signatures under the Exam Requests and Other Business.

Reports

The Individual Snapshot report will not show an approval date if the status is Pending.

SROs

Individual NFI

In the NFI Individual Search Criteria page, “Firm CRD Number, Firm Name, Available States, and Selected States” will move to “Search by Name” row.

Queues

In all queues, users may enter only up to 10 characters/spaces into the "Assigned To" field.

User will no longer receive a GSE in the SRO Waivable Deficiency Queue when attempting to waive an agent that has an apostrophe (') in their name.

SRO U5 Notice Queue will display the date of termination submitted on the U5 instead of the registration status date.

Records with Regulatory Notes will be flagged appropriately.

The printer-friendly will show the appropriate pages within any queues.

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Reports

The Individual Snapshot report will not show an approval date if the status is Pending.

SEC

Individual NFI

In the NFI Individual Search Criteria page, "Firm CRD Number, Firm Name, Available States, and Selected States" will move to "Search by Name" row.

Queues

In all queues, users may enter only up to 10 characters/spaces into the "Assigned To" field.

The printer-friendly will show the appropriate pages within any queues.

View Individual Info

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Firms

Accounting

Help screens in Accounting will now display.

User will be able to click on the CRD number hyperlink in Accounting-Processed Transaction.

Org CRD number will remain populated after clicking on Charge Code List then come back to the Bill Line Search screen.

The \$ sign will again appear in Accounting.

If user does not fill in the appropriate fields in the Bill Line Search screen, the error message "Either Individual CRD, Transaction ID, Charge Code are required" will display.

In Accounting, SSN will display in the proper format XXX-XX-XXXX.

The Print friendly icon will work properly in Accounting.

Bill Line Search navbar title will change to Accounting.

If user enters a date range greater than 90 days and then submits a search on the Transaction Detail screen, a message will display stating "Date range can not exceed 90 days".

The system will populate the Org CRD # field in the Bill Line Search page.

In Accounting, “Transaction From Date” is being replaced by “From Post Date”.
Transaction Thru Date” is being replaced by “Thru Post Date”.

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Form Filing

The IE position is now available for PCX.

The following positions are now available for AMEX: AM – Allied Member (N/A); AP –Approved Person (N/A); FE – Floor Employee (N/A); IE – UK Limited Representative (S17); ME – Member (N/A); PC – Clerk Conducting Public Business on Floor (N/A); PM – Member Conducting Public Business on Floor (N/A); TR – Securities Trader (S7); TS – Securities Supervisor(S7).

In the Employment History page, user will receive a message stating, “From Date must precede the To Date” if the From date is greater than the To date.

Users will again have the ability to submit form filings from Print Preview section in Form Filing.

In Form U4, the “Go to the Bottom of This Screen” link in the SRO Registrations page will work for IE 5.5 users.

In Form U5, the “Go to the Bottom of This Screen” link in the SRO Registrations page will work for Netscape 4.75 users.

The system will not incorrectly create multiple Affiliated Firm information in the Affiliated Firm page.

Firms will be able to submit U4 filings for Page2 only agents.

Firm association will close when a BD Amendment is filed to delete a Direct Owner.

The AutoSave message box will not appear if no changes have been made.

The Fingerprint Barcode field will no longer appear on an NRF amendment filing.

NRF Initial Filings will not have the Termination section in the navigation panel.

Reports

The Individual Snapshot report will not show an approval date if the status is Pending.

Users may query by billing code in the Firm Undelivered Fingerprint Queue.

Firm queues totals will now reflect the correct numbers.

The U5 Late Fees Queue will show the individual just once per fee charged.

The printer-friendly will show the appropriate pages within any queues.