# Web CRD Release 2.0 Changes

<table>
<tr><th>Changes</th><th>User Community</th></tr>
<tr><td colspan="2">General</td></tr>
<tr><td>1. Technology Infusion<br>
• Elimination of the frames and changes to the layout of search screens in order to be more graphically pleasing. These changes place all navigation and content into a single screen frame, streamlining navigation and allowing the system to respond more quickly.<br><br>
• New navigation facilities, including:<br>
⇒ Toolbar, which now stays constant for any given user.<br>
⇒ Submenu under the Toolbar, which varies based on the item selected in the Toolbar.<br>
⇒ Side Navigation Panel, which varies based on selections made on the Toolbar and/or submenu.<br>
⇒ Navigation Footer, which contains links from the side navigation area.<br><br>
• Wizard-style form entry (Provides hands-down data entry by adding Next/Previous buttons to the Form Filing topic sections in the order that they appear on the side navigation panel and footer).<br><br>
• Hyperlinks to choose a filing type rather than radio buttons to save on extraneous mouse clicks.<br><br>
• Saving of hyperlinks to enable “in context” jumps to schedule information when filling out forms. (With this functionality the user will be able to move from page to page and still have his/her changes saved. In these cases, the user will be prompted whether he/she wishes to save the information or not.)<br><br>
• Paging through the Queues and the Search Results pages by clicking on “Next” or “Previous” hyperlinks to view all the results one screen at a time. (User will now specify the maximum # of rows to view per page vs. the contents of the entire Queue.)<br><br>
• Provides a printer-friendly version of web pages by clicking on the printer icon on each page. This printer-friendly version will eliminate the appearance of tool or navigation bars and will minimize the use of color on the screen to be printed.<br><br>
• Addition of a “Quick Search” feature to the side Navigation Panel, which includes a single text box and button allowing the user to conduct a new search for an individual or firm without returning to the Firm or Individual Search pages. The following text formats may be used:<br><br>
Individual:</td><td>ALL</td></tr>
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| ⇒ CRD Number search ######## <br> ⇒ Social Security Number search ###-##-#### <br> ⇒ Last Name, First Name Doe, John <br> ⇒ First Name Last Name John Doe <br><br> **Organization:** <br> ⇒ CRD Number search ######## <br> ⇒ SEC Number search 8-##### <br> ⇒ All Names search Doe & Associates <br><br> • "Redlining" of forms to highlight changes when viewing in "Changes Only" mode of View Historical Filings. (Changes will appear as red text). <br><br> • The "Completeness Check" window will provide hyperlinks so that the user can navigate directly to the portion of the form where the error exists. <br><br> • Auto Set-focus to the first edit field on a form. (When a user enters a page of a form, the cursor will be automatically placed into the first edit field.) <br><br> • Default button designated on Form Filing screens, which allows the user to use the "Enter" key to select a highlighted button rather than clicking on the action button using the mouse. Search screens will always have the "Search" action button set as the default. | |
| 2. Corrected the Org Filing History Search to include filings submitted on the date entered as the end date. | ALL |
| 3. Updated the Direct Owners and Indirect Owners screen to display date in MM/YYYY format | ALL |
| 4. Submit buttons will no longer allow submitting a filing more than once. | ALL |
| 5. Corrected the error with training period calculation for the BM position. The system will no longer create a training period when the individual has previously held the GS position with a previous firm for more than 3 years. | ALL |
| 6. Fixed the application so that an apostrophe within text does not cause a GSE (General System Error). Previously, the user received a GSE when searching for a name that contained an apostrophe, such as O'Connor. | ALL |
| 7. The Site Map will now include links to all items to which a user is entitled. | ALL |
| 8. Removed "Instructions" from the Navigation Panel. | ALL |
| 9. The S66 exam will now include grandfathering if the exam was passed prior to 01/01/2000. | ALL |
| When an Organization terminates with all regulators the firm association will now be closed. | ALL |
| 11. Corrected the system to require a unique SEC number. (Previously, the system allowed the input of duplicate SEC numbers.) | ALL |
| 12. Redesigned Help to provide a Table of Contents Help structure. | ALL |
| 13. Corrected invalid Training Period and Pre-Training Periods calculations for the IR position. | ALL |

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| 14. Corrected the CE billing problem so that only firms with registrations are charged. (If an individual is associated with another firm as a back-office person, that firm will not be charged for CE.) | Firms |
| 15. NASD Branch fees will no longer be charged for "jurisdiction" branches. | Firms |
| 16. Clarified application so that new registrations received 30 days after an Initial U-4 with no fingerprints submitted will receive fingerprint deficiencies. | Firms |
| 17. A Full U-5 from a firm will remove all outstanding letters regarding the individual from the firm's queue. | Firms |
| 18. NYSE-AP registration category will no longer have a fingerprint requirement. | Firms |
| 19. Fixed the problem with fingerprints to continue processing cards when a person has 2 CDPD cards entered against him/her. | Firms, NASDR |
| 20. NRF fingerprints will now be automatically associated when the individual applies for registration. | Firms, NASDR |
| 21. The fingerprint status termination Effective Date will now reflect the date the NRF was filed. | Firms, NASDR |
| 22. Arbitration Occurrences will no longer be created as Customer Complaint Occurrences. | Firms, NASDR |
| 23. CE Base Date will be set to Null when CE Status changes to NOCESTATUS. | Firms, NASDR |
| 24. Non NASD Member U-4/U-5 Processing will begin for NYSE firms, changes include:<br>• Entitlement to allow U-4/U-5 processing<br>• Implement Processing Fee (A system processing fee of $50 will be charged to the firm's account with the initial registration, transfer or transition onto Web CRD. A yearly system renewal fee of $30.00 per registered individual will be charged at Renewals) | Firms (Non-Members), NASDR |
| 25. Fixed the problem with exam scheduling of S63/S66 so that the S63 is scheduled unless the S66 is explicitly requested. | Firms, States, NASDR |
| **Form Filing - General** | |
| 26. Corrected Typographical errors on the General Instructions page. | ALL |
| 27. Provided links from the Completeness Check error list to the section of the filing that has the error. | ALL |
| 28. Changed filing types to links instead of radio buttons. | ALL |
| 29. Added Filing Type to Pending Filing Search Results screen. | ALL |
| 30. Form Filing History will be displayed in descending date order. | ALL |
| 31. View History filing list will show the date the filing was received not the submission time stamp. | ALL |
| 32. Added a completeness check to all DRPs that have a Monetary Fine box to require the Monetary Fine checkbox be selected when a fine amount is entered. | ALL |
| 33. Corrected the completeness check in Regulatory Action DRP so that if the event #8 is marked Pending, an error will be displayed if resolution or sanction details are provided. | ALL |
| 34. Added Firm Name and CRD Number to Form Filing Header. | Firms |
| **Form U-4** | |
| 35. Added the following language to the U-4 filing type screen after the Dual, Relicensing and Initial filing types:<br>⇒ "PLEASE NOTE: I acknowledge that by initiating a form filing on behalf of the individual selected, I have the consent of that individual to submit the selected form filing, or that I am considering this person for employment and have obtained and will keep on file this person's written consent to review his/her CRD record for that purpose." | ALL |

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| 36. The Employment History section has been modified to work the same as the Residential History section. The system will populate the 'To' field with Present when initiating a new employment. | ALL |
| 37. Added SSN and Name to Relicensing search screen. | ALL |
| 38. State names will be displayed in alphabetical order. | ALL |
| 39. Added an 'Add All' button to jurisdiction screen on Form U-4. | ALL |
| 40. Revised Blank U-4 to ensure the order of the sections corresponds to the paper form. | ALL |
| 41. View History for Form U-4 was corrected to display the correct firm name in the header table. | ALL |
| 42. Added Agent of the Issuer text to U-4 Jurisdiction screen. This area is not active, however it appears because it appears on the paper form. | Firms, NASDR |
| 43. Added a '$' before the Amount field for Question #s 7, 11 and 12 on the Customer Complaint DRP. | Firms, NASDR |
| 44. Added a warning message to Form U-4, when the user requests a S63, S65 or S66 exam to notify him/her that he/she will be charged for the exam regardless of need. | Firms, NASDR |
| 45. Corrected the completeness check in Customer Complaint DRP so that if Question 8 is marked Pending, an error will be displayed if resolution details are provided. | Firms, NASDR |
| **Form U-5** | |
| 46. U-5 Residential History list screen will display country and state. | ALL |
| 47. Partial U-5s will now terminate the NYSE-FE position. | Firms |
| 48. Modified the Affiliated Firms completeness check to no longer truncate the last word "SRO-Registration". | Firms |
| 49. Fixed the bug with SRO registrations completeness check error to submit a Partial U-5 to terminate CBOE-OP status. | Firms |
| 50. Bolded the subheading 'Criminal Disclosure' on Form U-5. | Firms |
| 51. Fixed typographical errors in U-5 completeness check errors. | Firms, NASDR |
| 52. Added a completeness check to stop a Termination Date that is before the Employment Date for the firm. | Firms, NASDR |
| 53. Corrected the U-5 completeness check error on the DRP certification question to require a Yes answer to a Disclosure Question if Question 19A, 19B or 19C is answered "yes". | Firms, NASDR |
| 54. Added a completeness check for a current address to Form U-5. | Firms, NASDR |
| **Form BD** | |
| 55. Modified the Branch Search screen to add the following statuses: non-deficient, deficient, and both. Removed the postal code from the city and state search. | ALL |
| 56. Corrected the bug that was displaying business affiliates as bank affiliates in View History. | ALL |
| 57. Removed the radio default "The Applicant" from BD DRPs in Part I. | Firms, NASDR |
| 58. Added Supervisors name to Branch Search Results screen. | Firms, NASDR |
| 59. Fixed completeness check error in BD Applicant Information section that was requiring a zip code when country was provided, not state. | Firms, NASDR |
| 60. Corrected problem with answers to questions 2A, 2B, and 2C. The user will be notified that if 2C is "Yes", then 2A and 2B must be | Firms, NASDR |

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| "No". | |
| 61. On Form BD, Affiliate details will not require a zip code when it is a foreign address. | Firms, NASDR |
| 62. Corrected completeness checks to allow no answer in the postal code field if the address is foreign. | Firms, NASDR |
| 63. Corrected error message on Form BD, Schedule E Effective branch will no longer state that branch must be in the current year. The new message will read, "The date the branch closed must be either a current or previous date." | Firms, NASDR |
| 64. The name of the firm will be contained at the top of all screens in Historical BD filings. | Firms, NASDR |
| 65. In preparation for IARD, a new warning message was added to BD for firms that are jointly IA/BD registered to remind them to update their ADV if they have linked disclosure. | Firms, NASDR |
| 66. Added form instructions for Schedule A & B to the Direct and Indirect Owners screens. | Firms, NASDR |
| 67. Adjusted the Schedule E message to be clearer when a firm attempts to add the same branch to the filing more than once. | Firms, NASDR |
| **Form BDW** | |
| 68. Fixed the problem with BDW Submission failure. When there is a 'Yes' answer to Question 5, it sets a manual deficiency for financials. | Firms |
| 69. Full Correction BDW completeness check will require information in Financial Liabilities. | Firms |
| **Form NRF** | |
| 70. NRF historical filings will now show the fingerprint card status field as read-only text, not a drop down list. | Firms, NASDR |
| 71. Revised Historical NRF form so that the Termination section is now available. | Firms, NASDR |
| 72. Corrected NRF completeness check so that either the State/Province of Birth or the Country of Birth is required, but not both. | Firms, NASDR |
| **Queues - General** | |
| 73. "Number of Rows" search criteria will allow a maximum input of 50, and the box will be shrunk to a 2 character size. (Note: Paging through Queues and Search results will allow the user to view all items page by page). | ALL |
| 74. On the filter screen that contains the Disclosure Type filter, the label for Customer Complaint is now Customer Complaint/Arbitration. | ALL |
| 75. On Queue search screens if a criteria is selected then the appropriate checkbox/radio button will be selected. If you type in an individual's CRD # then the radio button will automatically change from All to Individual CRD #. | ALL |
| 76. Queues using Netscape will display the same as they do using IE, this applies to Disclosure Review, SRO, Jurisdictions, and Deficiencies queues. | ALL |
| 77. Created a new type of firm association, Schedule A/B, which will allow us to better track the Page 2 Deficiencies. These individuals will not appear in the queues. | ALL |
| **Firm Queues** | |
| 78. Renamed CE Queues: "CE Recently Satisfied" now called "CE Satisfied" and "Currently CE 2Year Termed" now called "CE Two Year Termed. | Firms |
| 79. Fix Alerts CE Inactive count. | Firms |
| 80. Removed Session Begin Date sort criteria from the CE Inactive Queue because it was redundant of Session End Date. | Firms |

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| 81. Approaching CE Requirement and Scheduled Exam Queues will now be available to all firms. | Firms |
| 82. Removed “removal” functionality from Firm Temporary Registration Cancellation Queue, to be consistent with all Firm Queues. | Firms |
| 83. Notices will appear in the Firm Fingerprint Inactive Registration Queue when the filing does not contain a bar code. | Firms |
| 84. Fingerprint Received From FBI Queue was corrected to retrieve the most current status. | Firms |
| 85. Fixed the problem with the number of days being calculated incorrectly in the Firm Undelivered Fingerprint Queue. | Firms |
| 86. Fingerprint Queues will now correctly handle Non Registered Individuals:<br>• Inactive Registrations Due to Missing Fingerprint Cards Queue/Total – will not display Non Registered persons<br>• Notice of Undelivered Fingerprint Cards Queue/Total – will not display Non Registered persons<br>• Fingerprint Status Received From FBI Queue/Total – **will allow** Non Registered persons to be displayed<br>⇒ Added a filter to the Firm Queue Fingerprint Status Received From the FBI, that will allow the user to select to view all individuals, registered individuals, or non-registered individuals. | Firms |
| 87. Fixed Queue Totals for Firm Disclosure Letters to not count Non Registered individuals. | Firms |
| 88. Corrected Firm Disclosure Review Totals to correctly reflect number of items in the queue. | Firms |
| 89. U-5 Required Queue modified to display individuals who have already been charged a Tracked U-5 Late Fee. | Firms |
| 90. U-5 Late Fee Notice Queue changed U-4 Filing Date column to U-5 Expected Date. | Firms |
| 91. Firm U-5 Required Queue will now show U-5 Expected Date not U-4 Filing date. | Firms |
| 92. Removed the Regulator field from the U-5 Required Queue. | Firms |
| **Reports - General** | |
| 93. Corrected the Previously Inactive CE report to calculate the number of days correctly when the individual was inactive for one day. | ALL |
| 94. Corrected Approaching CE Report and Download to display data only one month ahead. | ALL |
| 95. Corrected timeout problem with Individual Snapshot Report. | ALL |
| 96. Corrected report generation problem with Individual Snapshot Report. | ALL |
| 97. On Individual Snapshot Report for Previous Employers section, corrected the Employer name to display name at time of employment and not current name. | ALL |
| 98. New Report – Individual Roster – Firms Download. | ALL |
| 99. Dual Registered Individuals Report corrected to include all dually registered individuals. | ALL |
| **Firm Reports** | |
| 100. Modified Firm Account Activity Report to include IA charges for joint member firms. | Firms |
| 101. Added information on how to request reports for firms on the Glossary and Request Reports pages. | Firms |
| 102. Removed non-registered fingerprints from the Post SRR Letters Report. | Firms |
| 103. Removed non-registered fingerprints from the Post Exams Report. | Firms |
| 104. Removed non-registered fingerprints from the Post Enrollments Report. | Firms |
| 105. Converted Agent Account Tape to regular CRD Report titled “Firm Accounting Download”. | Firms |

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| 106. Added Institution Name to Branch Renewal Roster. | Firms |
| 107. Added check sum function in Post Accounting. | Firms, NASDR |
| **Notifications** | |
| 108. Added Firm Notifications functionality. The firm may choose the type(s) of notification it wishes to receive, via e-mail, by selecting the corresponding radio button. Four notifications will be available:<br>• Notice of Deficient Account<br>• Notice of Temporary Registration Withdrawal<br>• Notice of CE Inactive Registration<br>• Notice of Disclosure Letter | Firms |
| **Search** | |
| 109. Name Search results in View Individual and View Organization will appear alphabetically. | ALL |
| 110. Middle Name field will appear on Search screen when using Netscape. | ALL |
| 111. Corrected search to include items that occurred on, or before, the end date in View Organization Filing History. | ALL |
| 112. Added Search Tips as a hyperlink off the "Name" field on search pages. | ALL |
| **Query - General** | |
| 113. Under View Individual and View Organization all legacy CRD information will be grouped under "Legacy Information" on the Navigation Panel. | ALL |
| 114. Changed the titles of columns under Legacy Registration from "Filing Date" to "Filing/Approval Date" and from "Status Date" to "Approval/Termination Date". | ALL |
| 115. Corrected Regulatory Archive and Z records to no longer display duplicate occurrences. | ALL |
| 116. Firms will be able to view Page 2 for BD Schedule A/B individuals' information by hyperlinking through the individual's CRD#. | Firms |
| **View Individual** | |
| 117. Added billing code to the Composite Information screen. | ALL |
| 118. Changed labels from "CRD#" to "ID#" for Disclosure-Only individuals. | ALL |
| 119. Changed the display of Registration with Current Employers and Registrations with Previous Employers from alphabetical order to chronological order. | ALL |
| 120. Added a field to Composite Information screen to display "System Archive" information. | ALL |
| 121. Added language to the Employment History screen to state the following: "Please note that data contained in the U-4 EMPLOYMENT HISTORY SCREEN is updated only by a U-4 filing and does not reflect any changes made via a U-5 filing." | ALL |
| 122. Added Language to the Current Disclosure screen: "The specified individual has no disclosure that qualifies for reporting under this section. Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure." | ALL |
| 123. Modified text that appears in the Composite Information screen, Reportable Disclosures field, from "None submitted in CRD as of | ALL |

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| this date" to "The specified individual has no disclosure that qualifies for reporting under this section. Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure." | |
| 124. Added a field to Composite Information screen to display the type of individual. For example, Registered Representative, BD Direct/Indirect Owner etc. | ALL |
| 125. Fingerprint Screen will now show the status date associated with the status displayed. Previously, the date displayed may have been that of an update to the record, not necessarily the date the status was achieved. | ALL |
| 126. Changed label from "Statutorily Disqualification?" to "Statutory Disqualification Status?" in the Composite Information screen. | ALL |
| 127. The Statutory Disqualification Status? Section will now contain one of the following descriptions:<br>• Blank (default)<br>• Under Review<br>• Yes – Approved<br>• Yes - Denied<br>• Yes – Denial/Approval pending<br>• No<br>• Clear | ALL |
| 128. Corrected the CE screen to display correct window dates when foreign deferral is removed. | ALL |
| **NFI** | |
| 129. Headers in the fingerprint application will be consistent with rest of the individual application. | ALL |
| **Accounting** | |
| 130. Added IA processing of new accounts to current accounting. | Firms |
| 131. Balances will now match details in Account Activity Summary Table. | Firms |
| 132. Removed charge codes no longer being used. | Firms |
| 133. Billing codes will now appear in Accounting. | Firms |
| 134. Updated Bill Line Search to include filter on product source. | Firms |
| 135. Updated Bill Line Search results to include posting date and product source. | Firms |
| 136. The charge code list for conducting a Bill Line Search has been redesigned to be more user friendly. | Firms |
| 137. Invalid U-5 Late fee will no longer be charged for a secondary firm in an SFG group. | Firms |
| 138. NASD Termination and U-5 Late Fees will only be charged when an NASD position exists on the filing. | Firms |
| 139. NASD Termination fee will be charged on a Partial U-5 if the last NASD position is terminated via the filing. | Firms |
| 140. Late U-5 fees will no longer be charged for "Purged" individuals. | Firms |
| 141. Changed the charge code label from "U-5 Full Termination Fee" to "NASD Termination Fee". | Firms |
| **Renewals** | |

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| 142. System will not allow postdated U-5s for individuals who do not have approved registrations. | Firms |
| 143. Any new registrations requested after submission of a post-dated Full U-5 will be flagged for termination and will change to a TERMED status on 12/31. | Firms |
| 144. System will only allow the termination effective date of 12/31 of the current year when filing a post dated U-5. | Firms |
| 145. Post-dated BDW will have a Termination Requested date of 12/31. | Firms |