

Web CRD[®] and IARDSM
Release 2008.1 Release Notes
February 4, 2008

DESCRIPTION	COMMUNITY
U4/U5/U6 - Form Filing	
The following warning message will now display if numeric values are entered in any name field on Form U4: "Individual's First, Middle and Last name cannot contain numeric characters."	Firms
Individuals with an active AG status will be able to disclose Professional Designations on Form U4.	Firms
The All Sections hyperlink will be moved to the top of the View Form Sections menu on the Print Preview navigation panel of Form U4.	Firms
The following PHLX position will be added to Forms U4 and U5: FN (Series 27) - Financial & Operations Principal.	Firms, PHLX
A completeness check will generate on Form U4 filings when a non-FINRA position is requested on a filing and the equivalent FINRA position is not requested on the same filing. A completeness check will also generate on Form U5 filings when a FINRA position is terminated on a filing and the equivalent non-FINRA position is not terminated on the same filing.	Firms, FINRA
NRF Filing	
The following warning message will now display if numeric values are entered in any name field on an NRF filing: "Individual's First, Middle and Last name cannot contain numeric characters."	Firms
Accounting	
An ISE Termination Fee of \$30.00 will be charged through Web CRD when ISE registration is terminated via a Form U5 filing.	Firms
The following 3 existing NYSE fees will be added to Web CRD: NYSE Branch Registration Fee, NYSE Branch Renewal Registration Fee, and NYSE Mass Transfer Branch Fee; the unit price for all 3 fees will be set to \$0.00.	Firms, FINRA, NYSE
If an individual's RA registrations with the successor firm were created as part of a mass transfer, the system will no longer assess the RA Processing Fee for a subsequent registration request.	Firms
View Individual & Individual Processing	
When a Form U4 is submitted for an individual that is deficient at the time of the filing, and one of the fingerprint exemptions is selected, the system will no longer set a fingerprint card deficiency when the other registration deficiencies are not cleared within 30 days.	All
When an individual is blocked from mass transferring because they have the same registration with the successor and predecessor firms, the Filing History screen will correctly display the individual's registration termination with the successor firm.	All
Twenty-five (25) new Individual Statutory Disqualification (SD) Status Codes will be added to Web CRD.	All
An individual's purged Legacy CRD registration status will no longer be changed to "Termed No Registration" if the individual is termed via a Full U5 and was previously employed with the same firm.	All
When the AG position is requested with multiple jurisdictions on the same Form U4 filing, and one of those jurisdictions does not require the Series 63 (S63) exam, the system will now process registration requests for states requiring the S63 first, then process registration requests for jurisdictions that do not require the S63.	All
View Organization	
The SD status for a firm will now display in the Applicant Information section of View Organization.	All
Firm Notifications	
Firms that do not have at least one active registration will no longer receive email notifications.	Firms
The system will now send an email notification to firms when a fingerprint card status is set to "RAPP" and then "COMP" on the same business day.	Firms
The system will now send the "Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses" email notification to firms on the day before individual's registration status is scheduled to change to "CE Inactive" or "Inactive Prints".	Firms
Queues	
A new "Include Form Type" filter will be added to the SRO and Jurisdiction Disclosure Notice Queues which will allow queue search results to be sorted by following criteria: "All", "Form U4", "Form U5" or "Form U6".	States, SROs
In the Temporary Registrations Queue search results, the Jurisdiction's Last Approval Date column will now display the date the most recent registration was first approved for that jurisdiction with an approved equivalent status instead of the date posted in the Queue Date column.	States
Two new filters, "Include Home States" and "Include Termination Reasons", will be added to the Jurisdiction Termination for Cause Notice Queue.	States
Reports	
The "Exam-Reschedule Exam Report" will be available in both PDF and zip-downloadable formats.	Firms

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Reports (Continued)	
The following changes will be made to the Reports functionality in Web CRD & IARD: - A Days to View column will be added to the Request Reports screen. - The Reports Glossary screen was removed. - The View Reports screen was updated with pagination and the option to sort the reports list by the Report Name, Request #, Requested On and Requested By fields.	All
A Refresh hyperlink will now display in the top right corner of the Web CRD and IARD View Reports pages, next to the Printer and Question Mark icons.	All
The "Branch - Associated Individuals" Report will no longer include inactive individuals.	Firms
When the OSJ branch has multiple Supervisors, the "Branch - Supervising OSJ and Regular Branches" report will correctly display the OSJ Supervisor for its non-OSJ branches.	Firms
Branch Office	
The NYSE Letter column will be removed from the Branch Status Queue Search Results screen.	Firms
When an inactive IA firm becomes active, the system will now change the branch operational status of the IA main office location to "Active", allowing individuals to be associated with the IA main office.	Firms
When a previously used NYSE Branch code is entered on Form BR with an address different from the previous NYSE branch address associated with that NYSE Branch code, a completeness check will display, instead of a GSE.	Firms
A completeness check will now display when an "operations ceased" date is entered on a Form BR filing that is prior to the branch creation date.	Firms
IARD	
"Snapshot - IA Firm" report will no longer include the residential address of sole proprietorships.	All
The "IA SEC - Firm Download" will be updated to display the SEC region acronym in place of the SEC region ID number.	SEC
Entitled SEC users will be able to manually override the SEC Region for Investment Advisers in NFI.	SEC
A warning message will now display on the Completeness Check screen if a Post Office Box is entered in Part 1A, Item F(1), Principal Office and Place of Business.	Firms
A completeness check will now display if an address that is not located in the state of Wyoming is entered in Part 1A, Item F(1) and Part 1A, Item 2A(2), 'have your principal office and place of business in Wyoming' is checked.	Firms
State and SEC users will be able to view a firm's Current Registration Status and Status Effective Date in the Identifying Information section of View Organization for firms registered in their jurisdiction. Registration Status will remain a separate section in View Organization.	States, SEC
A new "SEC - Form ADV-W Filings Download" report will be added, which will display a list of firms that have filed a Form ADV-W requesting to withdraw their registration or application for registration with the SEC.	SEC
The "IA SEC - Annual Amendment Not Filed Report" will be updated to include the firm's SEC number.	SEC
When a firm requests SEC registration on an Initial Form ADV filing and the firm previously held an SEC registration, the firm will be assigned a new SEC number upon approval. All historical filings prior to the new registration will continue to display the old SEC number.	Firms, SEC
IAPD	
IAPD will correctly display U.S. Virgin Islands (USVI) registrations termed within 2 the last years.	All
Web EFT	
The following PHLX position will be added to Web EFT Forms U4 and U5: FN (Series 27) - Financial & Operations Principal.	Firms
Instead of receiving a GSE after submitting multiple filings for one individual within a batch, the following error message will be provided: "There is a filing for the same individual that has been submitted but not yet processed."	Firms
The following Web EFT reports will be updated to include a timestamp for each individual's registration status on the report: "Post Approval Report", "Post Pending Report", "Post Termination Report", and "Post Deficiencies Report".	Firms
Individuals with a suspended CE requirement will be correctly included in the Web EFT - Post Exams Report.	Firms
The ability to update Branch Supervisors through Web EFT Form BR filings will be added.	Firms
Twenty-five (25) new Individual Statutory Disqualification (SD) Status Codes will be added to Web CRD.	Firms
FINRA Rebranding	
NASD references will be updated to display as FINRA in most areas throughout Web CRD & IARD. FINRA rebranding content changes will include updates to registration data as well as corresponding changes to registration forms (i.e. Forms U4, U5, etc.), reports, fees, and queues.	All