

Web CRD[®] and IARDSM
Release 2008.4 Release Notes
October 6, 2008

DESCRIPTION	COMMUNITY
Rebranding	
Web CRD and IARD will be updated with the new corporate colors and look & feel.	All
FSG will be updated with the new corporate colors and look & feel.	Firms
U4/U5/U6 - Form Filing	
Historical Form U6 filings will now display the following information in the header: - Filing Type - Filing Date - Source of the filing (i.e., The regulator that submitted the filing)	All
The following SROs will be added to Forms U4 and U5: - BATS Exchange, Inc. (BATS)* - EDGA Exchange, Inc. (EDGA)** - EDGX Exchange, Inc. (EDGX)** *Effective with Web CRD & IARD Release 2008.4. **Pending SEC exchange approval	Firms, BATS, EDGA, EDGX
The system will now correctly populate only the individual's current Residential Address on the U6 - <i>Subject of Action</i> screen.	States, SROs, FINRA
Completeness checks will be added to Forms U4, U5 and NRF filings which will no longer allow numeric values to be entered in the "Country" and "Country of Birth" fields.	Firms
Form BD/BDW	
The following SROs will be added to Forms BD and BDW: - BATS Exchange, Inc. (BATS)* - EDGA Exchange, Inc. (EDGA)** - EDGX Exchange, Inc. (EDGX)** *Effective with Web CRD & IARD Release 2008.4. **Pending SEC exchange approval.	Firms, BATS, EDGA, EDGX
The expiration date displayed on the Applicant Information page of Form BD will be updated to November 30, 2010.	Firms
A warning message will be added to the <i>BDW Submission</i> screen that lists the registrations requested to be withdrawn on the BDW filing.	Firms
Numeric values will be allowed in the "Full Legal Name" field of the Direct and Indirect Owners sections of Form BD for domestic or foreign entities.	Firms
When a Form BD filing is submitted deleting an Other Business Name, the system will now reflect the change in the firm's composite record.	Firms
Accounting	
The "Branch CRD #" field on the following Accounting screens were updated to display as "CRD Branch #": - Processed Transactions - Funds Deficient Transactions - Transaction Detail - Bill Line Search - Bill Line Search Results	Firms, FINRA
Renewals	
The Renewals - No Payment-Underpaid IARD-Only Firms-Download Report will now display the contact information provided by the firm on Form ADV.	States
The new BD/IA Branch Renewal Discount Fee will now be systematically assessed when the branch is renewing registration in a state that provides a discount for dual branches.	Firms, States
Regulators will now be able to view notices of post-dated BDW and ADV-W filings in the Broker Dealer Withdrawal and Investment Adviser Withdrawal queues as soon as the withdrawal filing is submitted.	States, SROs, SEC
The Treasurer's Renewal Register report will now display the cents in the Amount Paid and Balance Due fields.	FINRA
Renewals Statements will now display all quantity values in the following format: #,###.	Firms
Renewals Statements will now display sorted by SRO abbreviations followed by jurisdictions.	Firms
CHX only member firms will now be included in the Renewals processing.	Firms, CHX

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View Individual & Individual Processing	
Entitled state users will be able to set a firm's Basic Review Method to Manual or Automatic (default).	States
The system will now display cleared (historical) registration deficiencies. The historical deficiency information will only be available for deficiencies cleared post Release 2008.4.	All
The Mass Transfer: <i>Block Individual Transfer</i> screen will be updated with an archived disclosure indicator.	States
The <i>Individual Search</i> screen will now accept non-hyphenated SSNs in the Social Security Number (SSN) field.	All
If no registrations exist with a prior employer, the <i>Registration Summary</i> and <i>Registrations with Prior Employers</i> screens will correctly display "No registrations with this employer" within that employer's section.	All
View Organization & Organization Processing	
The <i>Form BR Branch Offices: Currently Associated Individuals</i> screen will be updated with an archived disclosure indicator.	All
Non-Filing Information (NFI)	
The following new Regulatory Note Templates were added: - Duplicate Record - Erroneous Duplicate Record - Reason for Termination Correction - Updated Reason for Termination - SD District List - Additional Information	FINRA
When editing an existing Regulatory Note, if the Reset button is selected, the system will correctly display the previously saved content of the note.	States, SROs, SEC, FINRA
Notifications	
A new email notification was created to alert firms of an outstanding Form BD deficiency: "Notify when firm has an outstanding Form BD Deficiency."	Firms
A new email notification was created to alert firms when their account balance has gone below \$0.00: "Notify when firm account balance has gone below \$0.00."	Firms
A new email notification was created to alert firms when an individual registered with the firm receives an INCOMPLETE result for a CE session: "Notify when registered individuals receive an INCOMPLETE result for a CE session – BD Only."	Firms
The Customer Complaint Expiration email notification will no longer include notifications for non-registered fingerprint (NRF) individuals.	Firms
The Individuals Examination Status Changes email notification will continue to include individuals for whom a post-dated Form U5 has been submitted until the U5 is processed during Renewals shutdown.	Firms
In addition to the firm's CRD By-Law District, email notifications will now also be sent to the firm's assigned Sales Practice and Financial Operations District. The following ROOR offices will be added: - ROOR Unit 1 - ROOR Unit 2 - ROOR Unit 3	FINRA
Reports	
Social Security Numbers will be removed from the following reports: - Accounting - Disbursement Detail (PDF and download) - Individual - Termination for Cause – Jurisdiction - Individual - Termination for Cause – SRO	States, SROs, FINRA
The Accounting - Disbursement Detail Report and Download will no longer abort when the Run Date is not specified in the report parameters.	States, SROs, FINRA
The Accounting - Disbursement Detail Report and Download will correctly display the Organization Name for an investment adviser-only firm that was formerly registered as a broker-dealer.	States, SROs, FINRA
The <i>View Reports</i> screen will be fixed to address issues with pagination.	All
The Exam - Reschedule Exam Report will now include the following information: - Current status of the exam - Exam status date - Exam grade	Firms

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Reports (Continued)	
The SEC - BD Update Feed will be updated with the following (effective 12/15/2008): - SRO name changes (NASD to FINRA, PCX to ARCA and CSE to NSX) - Added U.S. Virgin Islands (VI) as a jurisdiction - Added New SROs (BATS*, EDGA**, and EDGX**) *Effective with Web CRD & IARD Release 2008.4. **Pending SEC exchange approval.	SEC
The NYSE Reconciliation Report will be retired.	NYSE
The following FINRA reports will be retired: - Firm - Pending FINRA Members With Approved Regs - Individual - Expungement Download	FINRA
The following reports will now be available for entitled FINRA District and Member Regulation users: - Accounting - Firm Accounting Download - Accounting - Late Disclosure Fee Report and Download	FINRA
Branch Office	
When the status of a firm's BD/IA registration is set to INACTIVE, the system will no longer leave open Office of Employment records for individuals associated with branches/main offices that were closed as a result of the organization termination.	Firms
Pending FINRA and NYSE member firms will now be able to submit Form BRs prior to membership approval.	Firms
Miscellaneous	
The following Web CRD & IARD recommended hardware and software configuration items will be updated: - Internet Connection: Broadband - Web browser : Microsoft Internet Explorer 7.0 or greater (Javascript enabled) or Firefox 2.0 or greater	All
Users will be redirected to www.finra.org/crd/forms when accessing the PDF versions of the forms.	All
Users will be redirected to www.finra.org/crd/help or www.iard.com/UserSupport.asp when accessing Help via Web CRD or IARD.	All
Firm Gateway	
When accessing Firm Gateway using Mozilla Firefox, the View Organization - <i>Current Disclosure Summary</i> screen will no longer display state and SRO acronyms as hyperlinks in the Composite Filing column.	All
IARD	
Forms ADV and ADV-W were updated to display the "Country" field as a drop down list instead of a text box.	Firms
The RA Transition functionality will be activated for Wisconsin (WI). WI will require AG's associated with BD/IA firms to register as RA's effective 01/01/2009.	Firms
The Snapshot - IA Firm report parameters were updated to include the following options: - Include Current Administrative Data - Include Current Reportable Disclosure Information - Include Current non-Reportable Disclosable Information	All
If the filing firm is a joint BD/IA, Form ADV Schedules A/C and B/C of will now correctly display the Full Legal Name field as read-only for all individuals and entities listed as a direct or indirect owner.	Firms
The IA SEC - Firm Roster Download will now be provided in .csv format instead of pipe delimited (.txt).	SEC
The "SEC - Form ADV-W Filings Download" was renamed to "SEC - Form ADV and ADV-W Filings Download" and will now include all Form ADV and/or ADV-W filings submitted requesting registration or terminating registration with the SEC within the timeframe specified in the report parameters.	SEC
The following SEC reports were retired: - IA SEC - Custody Report - IA SEC - Firm Disclosure History Report - IA SEC - Firm Applications Processed Report - IA SEC - Filers Using Hardship Provision	SEC

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DESCRIPTION	COMMUNITY
Web EFT	
The IIR will correctly display the branch address as it was at the time the individual was located at the branch, even if the branch address has since been changed.	Firms
The following SROs will be added to Web EFT Forms U4 and U5: - BATS Exchange, Inc. (BATS)* - EDGA Exchange, Inc. (EDGA)** - EDGX Exchange, Inc. (EDGX)** The "CRD U4 U5 NRF Form Filing Schema Definition Document", "CRD Reports Schema Definition Document" and corresponding XSDs will be updated with BATS, EDGA, and EDGX information. *Effective with Web CRD & IARD Release 2008.4. **Pending SEC exchange approval.	Firms