

DESCRIPTION	COMMUNITY
U4/U5/U6/NRF - Form Filing	
*When terminating a Non-Registered Fingerprint (NRF) relationship, the following completeness checks will now display on NRF Amendment filings: <i>"Date of Termination is required if the individual is being terminated."</i> <i>"Terminate Non-registered Fingerprint relationship must be selected when a Date of Termination is provided."</i>	Firms
*The following completeness check will display on Form U4 if any individual holding or requesting RA only registration(s) is not located at the filing firm's main office, a registered branch office, or a non-registered office of employment and the employment end date for the filing firm is blank: <i>"At least one office of employment must be listed for this individual."</i>	Firms
*Forms U4 and U5 will be updated to change the BATS Exchange name and acronym to display as BATS Z-Exchange (BATS-ZX). Forms BD and BDW will also be updated with the new exchange name and acronym. In addition, all existing BATS positions will now display as BATS-ZX positions.	Firms
*The following new BATS-ZX positions will be added to Forms U4 and U5: OP - Registered Options Principals (S4) FN - Financial and Operations Principal (S27) GP - General Securities Principal (S24)	Firms
*The following new ARCA position will be added to Forms U4 and U5: AP- Approved Person	Firms
*The following new AMEX positions will be added to Forms U4 and U5: CF - Compliance Official Specialist (S14A) CO - Compliance Official (S14) IF - In-Firm Delivery Proctor RS - Research Analyst (S86, S87) SM - Branch Office Manager (S10) TA - Trading Assistant (S25) FI - Introducing Broker/Dealer Financial and Operational Principal (S28) Note, as part of Release 2010.2 deployment, the above AMEX positions will be added through a one-time data script for individuals who hold the FINRA or equivalent NYSE position(s) and have active firm associations with an AMEX member firm.	Firms
*Pending SEC exchange approval, BATS Y-Exchange, Inc. (BATS-YX) will be added for Forms U4, U5, BD, and BDW as a new equity market SRO. In addition, the following new BATS-YX positions will be added to Forms U4 and U5: GS - General Securities Representative (S7) CD - Canada-Limited General Securities Registered Representative (S37) CN - Canada-Limited General Securities Registered Representative (S38) IE - United Kingdom - Limited General Securities Registered Representative (S17) MT - Market Maker Authorized Trader-Equities (S7) GP - General Securities Principal (S24) FN - Financial and Operations Principal (S27)	Firms
*Pending SEC exchange approval, Boston Options Exchange, LLC (BOX) will be added for Forms U4, U5, BD, and BDW as a new equity market SRO. In addition, the following new BOX positions will be added to Forms U4 and U5: OP - Registered Options Principals (S4) GS - Full Registration/General Securities Representative (S7) SU -General Securities Sales Supervisor (S9 and S10) GP - General Securities Principal (S24) FN - Financial and Operations Principal (S27) OR - Options Representative (S42) ME - Member Exchange FE - Floor Employee	Firms
*The following new BX positions will be added to Forms U4 and U5: AP- Approved Person IE - United Kingdom - Limited General Securities Registered Representative (S17)	Firms
*The following new CBOE position will be added to Forms U4 and U5: AP- Approved Person	Firms
*The following new CHX position will be added to Forms U4 and U5: ME- Member Exchange	Firms

DESCRIPTION	COMMUNITY
U4/U5/U6/NRF - Form Filing (Continued)	
*The following new ISE position will be added to Forms U4 and U5: AP- Approved Person	Firms
*The following new NQX position will be added to Forms U4 and U5: AP- Approved Person	Firms
*The following new NYSE positions will be added to Forms U4 and U5: GP - General Securities Principal (S24) FN - Financial and Operations Principal (S27) FI - Introducing Broker-Dealer/Financial and Operations Principal (S28) IP - Investment Company and Variable Contracts Products Principal (S26) DP - Direct Participation Program Principal (S39) MP - Municipal Securities Principal (S53) CS - Corporate Securities Representative (S62) ET - Equity Trader (S55) PR - Limited Rep. Private Security Offerings (S82) Note, as part of Release 2010.2 deployment, the above NYSE positions will be added through a one-time data script for individuals who hold the FINRA equivalent position(s) and have active firm associations with an NYSE member firm.	Firms
*The following new PHLX positions will be added to Forms U4 and U5: AP- Approved Person GP - General Securities Principal (S24) FE - Floor Employee	Firms
*The AMEX TR and TS positions will no longer be available to request on Forms U4 and U5. These positions will continue to display on the forms but the corresponding checkboxes will display as greyed out.	Firms
The NYSE CO and SA positions will be re-classified as Principal positions.	Firms
The Continuing Education requirement will be removed for the ARCA and AMEX AM positions.	Firms
The text "(S79)" will be added to the Investment Banking (IB) registration category label on Forms U4 and U5.	Firms
The training period requirements were removed for all AMEX positions.	Firms, AMEX
When a new affiliate association is created in Item 6 of a Form U4 filing and the 'Copy Filing Firm Regs' button is selected, the system will correctly copy the registrations applicable to the affiliate firm.	Firms
On Forms U4 and U5, firms will now have the ability to amend Customer Complaints/Arbitration/Civil Litigation DRPs archived for the following reasons: - Arbitration/Civil Litigation – settled for less than \$10,000 - Arbitration/Civil Litigation – settled for less than \$15,000 - Customer Complaint – filed more than 24 months ago and did not settle for \$10,000 or more - Customer Complaint – filed more than 24 months ago and did not settle for \$15,000 or more	Firms
BD/BDW - Form Filing	
The following error message will be added to Form BD that will require users to submit a corresponding Form U4 filing or Page 2 prior to adding an individual as a Direct/Indirect Owner to Schedule A and/or Schedule B: "Schedule A/B contains an individual who is not registered or affiliated with the applicant. You must first register or affiliate this individual with the applicant before you can add the individual to Schedule A/B."	Firms
The following warning message will be added to Form BD and will display when a joint Broker-Dealer/Investment Adviser firm has not indicated in Question 12 , Item S (Types of Business) that the firm provides investment advisory services: "The applicant is also an investment adviser based on data in the Investment Adviser Registration Depository. Please review the "Types of Business Engaged in By Applicant" section of this form and determine whether the applicant needs to check Item 12.S. (investment advisory services) based on the form's instructions."	Firms
The following warning message will be added to Form BD to alert users when the IRS Employer Identification Number (Applicant Information, Item 1.B.) and IRS # or Employer ID fields (on the Direct/Indirect Owners page) are the same for an entity: "The applicant's IRS Employer Identification Number listed in Item 1.B. is the same as an Employer Identification or IRS Tax Number for an entity listed on Schedule A/B. Please confirm that this is correct."	Firms

DESCRIPTION	COMMUNITY
View Individual & Individual Processing	
The Composite Information screen in View Individual will be updated to indicate whether the office of employment address is a FINRA OSJ branch office.	Firms, States, SROs, FINRA
The following new fingerprint card status will be added to Web CRD: 'EXCX' (Exempt after Name Check process). This status will be used for individuals who go through the name check process without a match being returned from the FBI. The existing 'XMPT' status will continue to be used for individuals who are exempt from the fingerprint requirement based on Rule 17f-2 of the Securities Exchange Act of 1934.	All
View Organization & Organization Processing	
The Organization Filing History screen will be updated to display the Filing Type for each form filing listed.	All
The Organization Current Disclosure Summary screen will be updated to display the CRD # for the corresponding Affiliate firm(s) in the Filed Against column.	All
Accounting	
The Processed Transaction, Transaction Detail, and Bill Line Search screens will be updated to display paginated search results. The system will display up to 100 search results per page. In addition, a calendar control feature will be added as an option when entering dates.	All
Web CRD Queues	
A new Disclosure Letters Queue will be created, which will display electronic Disclosure alerts sent to the firm.	Firms
Web CRD Reports	
A new Individual – Disclosure Download report will be added. This download contains detailed individual disclosure information reported on Forms U4 & U5 for registered individuals who are affiliated with the specified firm at the time the report is requested.	Firms, FINRA
The Snapshot - Individual Report will be updated to only show the individual's Year of Birth in the Personal Information section of the report.	All
The Roster-Individual Regulator Position Report (PDF version only) will be updated to display an error message if the number of registrations for the specified parameters exceeds 200,000 records. Users will need to further restrict the report parameters.	States, SROs
The Firm - Accounting Download will be updated to rename the BATS-ZX exchange and will include charge codes for the new BATS-YX and BOX exchanges.	Firms
Miscellaneous	
Users will be able to view a preview of the broadcast message from the CRD/IARD Main site map, then click the 'Details' button to view the full message.	All
BrokerCheck	
BrokerCheck search results will be updated to display only one record for each CRD #.	All
BrokerCheck will be updated to no longer display the arbitration case number hyperlink for individuals with a pending arbitration.	All
The disclosure label for final Customer Disputes (i.e. Customer Complaints, Arbitrations, Civil Litigations) will be updated to display on BrokerCheck PDF reports as: Customer Dispute – Closed-No Action/Withdrawn/Dismissed/Denied.	All
IAPD	
IAPD will be updated to allow users to search for Investment Adviser Representatives.	All
Web EFT	
The following completeness checks will now display on Web EFT NRF Amendment filings, when terminating a Non-Registered Fingerprint (NRF) relationship: <i>"Date of Termination is required if the individual is being terminated."</i> <i>"Terminate Non-registered Fingerprint relationship must be selected when a Date of Termination is provided."</i>	Firms
The following completeness check will display on Web EFT U4 filings if any individual holding or requesting RA only registration(s) does not have at least one registered branch office, the main office of the firm, or a non-registered office of employment listed on their record and the employment end date for this firm is blank: <i>"At least one office of employment must be listed for this individual."</i>	Firms
The Individual Information Report (IIR) will be updated to display Current Registration Deficiencies. The Current Registrations section of the report will be updated to include the following attributes: - Current Registration Deficiencies (CrntDfcnys) - Current Registration Deficiency (CrntDfcny) - Deficiency Code (dfcnyCd) - Exam Code (exmCd) - Create Date (createDt)	Firms

DESCRIPTION	COMMUNITY
Web EFT (Continued)	
The IIR, Post Approvals Report, Post Deficiencies Report, Post Pending Report, and Post Termination Report will be updated with the following exchange name changes: - Boston Stock Exchange will be updated to display as NASDAQ OMX BX Inc. - Philadelphia Stock Exchange will be updated to display as NASDAQ OMX PHLX, Inc.	Firms
The IIR and Post Fingerprint Report will be updated to include the new EXCX (Exempt after Name Check process) fingerprint status.	Firms
The Post Exams Report will be updated to include the Exam Status (examStatus).	Firms
The Post Accounting Report will be updated to rename the BATS-ZX exchange and will include charge codes for the new BATS-YX and BOX exchanges.	Firms