DESCRIPTION	COMMUNITY
U4/U5/U6/NRF - Form Filing	
*Non-Registered Fingerprint (NRF) filings will now allow users to re-associate a fingerprint barcode for a previously registered representative (RR) that has been continuously employed with the filing firm. Note, firms may only re-associate the most recently terminated fingerprint barcode submitted by the filing firm for the individual.	Firms
*The following new AMEX position will be added to Forms U4 and U5: • AC - Floor Clerk - Options	Firms
*The following new ARCA position will be added to Forms U4 and U5: • FE - Floor Employee	Firms
*The following new BOX position will be added to Forms U4 and U5: • AP - Approved Person Note: BOX does not currently display on Forms U4 and U5 as an exchange. BOX will be added to the forms in a future release.	Firms
*The following new EDGA and EDGX position will be added to Forms U4 and U5: • GP - General Securities Principal (S24)	Firms
*Pending SEC exchange approval, Miami International Stock Exchange, LLC (MIAX) will be added for Forms U4, U5, BD, and BDW as a new equity market SRO. In addition, the following new MIAX 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) • FI - Introducing Broker/Dealer Financial and Operational Principal (S28)	Firms
*The The OF position will no longer be available as a registration category for NYSE, AMEX, and NSX 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 review method for the following BX and NSX positions will be updated to manual review: • FE - Floor Exchange • ME - Member Exchange	SROs (BX & NSX)
The review method for the following NYSE position will be updated to manual review: • MM - Market Maker Authorized Trader	SROs (NYSE)
A clear button will be added to the following questions on the Customer Complaint/Arbitration/Civil Litigation disclosure reporting page (DRP): • 7D. Date received by/served on firm • 12C. Date notice/process was served • 15. Disposition Date • 18. Date notice/process was served • 21. Disposition Date • 23A. Enter date appeal filed	Firms
Accounting	
The Fingerprint - Reconciliation Download will be made available in .CSV format.	Firms, FINRA
Miscellaneous	
The Web CRD sitemap will be updated with a link to the Compliance Resource Providers page on FINRA's Web site. This will replace the Equifax Employment Screening Report link since information on how to request the Equifax PERSONA PLUS report is available on the new Compliance Resource Providers page. Note, the Equifax Employment Screening Report link in the View individual column will continue to display for Equifax PERSONA PLUS subscribers.	Firms

***Also applies to Web EFT filings.**

DESCRIPTION	COMMUNITY
Renewals	
The Renewals - No Payment- Underpaid IARD Only Firms Download will be updated to display the contact employee's e-mail address entered in Item 1.J of Form ADV. Previously the report only displayed confirmed email addresses for SEC registered investment adviser firms.	States, SEC, FINRA
The Renewals - Firm Renewal Report will now also be available in a download (CSV) format.	Firms, FINRA
BrokerCheck ***** *Note, BrokerCheck changes will be effective November 6, 2010*	
The disclosure period for former FINRA registered individuals will be expanded from 2 years to 10 years.	All
In addition to Final Regulatory Events, Brokercheck will permanently include registered representatives (RRs) with the following adjudicated matters: • Arbitration Awards • Criminal Convictions • Civil Judicial Note, unlike Final Regulatory Events, this further expansion in scope will only apply to individuals that maintained approved-equivalent FINRA registration on or after 8/16/1999.	All
For Termination events included in BrokerCheck PDF reports, the 'Brokerage Firm Name' label will be re-labeled as 'Employer Name' to more accurately represent events where the employer is not a brokerage firm.	All
IARD	
Entitled SEC users will have access to a new Form ADV-E Notice Queue, which will display a list of firms in their jurisdiction that have filed a Form ADV-E.	SEC
Users will be able to view Form ADV-E filing and status information in View Organization by accessing the new Form ADV-E Filing History page.	Firms, States, SROs, SEC, FINRA
The RA Transition functionality for Wisconsin (WI) will no longer be available.	Firms
A new Form ADV-E Surprise Examination Filing Web site will be created for accountants to upload their Form ADV-E Surprise Examination Report or terminate their surprise examination agreement with an investment adviser firm.	Firms, SEC
The Custody Information screen in View Organization will be updated to reflect changes to Form ADV Item 9.	Firms, States, SROs, SEC, FINRA
IARD Form Filing	
Form ADV will be updated based on changes made to the custody rule under the Investment Advisers Act of 1940. The changes will provide the SEC with better information about the custodial practices of registered investment advisers; and will also provide additional safeguards under the Advisers Act when an adviser has custody of client funds or securities. The following sections of the Form ADV will be updated: • Item 7 – Financial Industry Affiliations • Schedule D, Section 7A – Affiliated Investment Advisers and Broker-Dealers • Item 9 – Custody Two new Schedule D sections are being added for Item 9: • Schedule D, Section 9C – Independent Public Accountant o Schedule D, Section 9D – Related Person Qualified Custodian	Firms
Investment adviser firms will now be able to submit Form ADV-E Custody filings online via IARD. Historical filings will be viewable from the firm's ADV-E Filing History page.	Firms
IARD Notifications	
The following two new ADV-E related email notifications will be sent to the SEC's OCIE: • When an accountant submits a termination statement • When it is indicated in the Form ADV-E submission that a surprise examination report contains a qualified opinion	SEC
Investment Adviser firms will receive an email notification when an accountant submits a surprise examination report. The email notification will be sent to the confirmed email address entered for that firm on Form ADV Item J (Contact Employee).	Firms

*****Also applies to Web EFT filings.

DESCRIPTION	COMMUNITY
IARD Reports	
The Snapshot - IA Firm report will be updated based on changes made to the custody rule under the Investment Advisers Act of 1940. Additionally, the report will be updated to display Arbitration DRP information.	Firms, States, SROs, SEC, FINRA
The following SEC reports will be updated based on changes made to the custody rule under the Investment Advisers Act of 1940: • IA SEC - Firm Download Report • IA SEC - Firm Roster Report • IA SEC - Firm Roster FOIA Download • IA SEC - Total Summary Sheet Report • IA SEC - Schedule D Download	SEC
The new IA SEC - Form ADV-E Filings Download will display a list of SEC-registered Investment Adviser firms that have submitted Form ADV-E filings within a specified date range.	SEC
The new IA SEC - Form ADV-E Terminations Download will display a list of SEC-registered Investment Adviser firms that have submitted Form ADV-E Termination filings within a specified date range.	SEC
IAPD ***Note, IAPD changes will be effective November 6, 2010***	
*The disclosure period for former investment adviser representatives will be expanded from 2 years to 10 years. The disclosure period for investment adviser firms will also be expanded from 2 to 10 years. **Subject to contract modification regarding IAPD Individual*	All
*In addition to Final Regulatory Events, IAPD will permanently include investment adviser representatives (IARs) with the following adjudicated matters: • Arbitration Awards • Criminal Convictions • Civil Judicial **Subject to contract modification regarding IAPD Individual*	All
IAPD will be updated to display Form ADV-E information filed in the last three (3) years, including the corresponding Accountant Surprise Examination Report and/or Termination Notice submitted for an investment adviser firm.	All