

DESCRIPTION	COMMUNITY
Individual Form Filing	
The following FINRA position will be added to Forms U4 and U5: OS - Operations Professional (S99)	Firms, FINRA
Note: The effective date for the FINRA OS position is pending SEC approval. For S99 exams scheduled for the first time within 60 days of the effective date, individuals will have 12 months to take the exam. For S99 exams scheduled 60 days after the effective date, the system will open the standard 120-day window.	
The following exams will be added to Form U4: Series 99 (S99)* Series 56 (S56)	Firms, FINRA, SROs
<i>*Exam will not be available on the form until SEC approval is granted.</i>	
A new SRO, C2 Options Exchange, Incorporated (C2) will be added to Forms U4, U5, BD and BDW. The following C2 positions will also be added: GS - General Securities Representative (S7) IE - United Kingdom - Limited General Securities Representative (S17) OP - Registered Options Principal (S4) SU - General Securities Sales Supervisor (S9 & S10) CN - Canada - Limited General Securities Representative (S38) CD - Canada - Limited General Securities Representative (S37) FN - Financial & Operations Principal (S27) AP - Approved Person CT - Proprietary Trader Compliance Officer (S56 & S14) PT - Proprietary Trader (S56) TP - Proprietary Trader Principal (S56 & S24)	Firms
The following new CBOE positions will be available on Forms U4 and U5: CT - Proprietary Trader Compliance Officer (S56 & S14) PT - Proprietary Trader (S56) TP - Proprietary Trader Principal (S56 & S24)	Firms
The following new ISE positions will be available on Forms U4 and U5: CO - Compliance Official (S14) BM - Branch Office Manager (S9 & S10) GP - General Securities Principal (S24) CT - Proprietary Trader Compliance Officer (S56 & S14) PT - Proprietary Trader (S56) TP - Proprietary Trader Principal (S56 & S24) FN - Financial and Operations Principal (S27)	Firms
The following new NSX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)	Firms
The following new AMEX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	
The following new ARCA position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	
The following new CHX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	
The following new PHLX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	
The following new NQX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	
The following new BX position will be available on Forms U4 and U5: PT - Proprietary Trader (S56)*	Firms
<i>*Position will not be available on the forms until SEC approval is granted.</i>	

DESCRIPTION	COMMUNITY
Continuing Education The Series 901 (S901) will be added as a new Continuing Education (CE) regulatory element program for individuals who hold only the OS position (i.e. the individual does not hold any other position, besides the OS, with a regulator). Note: The S901 will be available 2 years from the FINRA OS effective date.	Firms
Reports The new Individual - Disclosure Count Download report will display current and archived disclosure counts for individuals currently registered with the requesting jurisdiction.	States, FINRA
Web EFT The U4/U5/NRF Schema documents (XSD and PDF files) will be updated, as appropriate, to include the above new SRO positions and exams.	Firms