

| DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | COMMUNITY                 |
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| <b>Accounting and Renewals</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                           |
| <p>The following fee changes will be implemented effective January 2, 2013:</p> <p>FINRA Individual Registration Fee: Current Fee = \$85 / New Fee = \$100</p> <p>FINRA Individual Form U4 and U5 Disclosure Review Fee: Current Fee = \$95 / New Fee = \$110</p> <p>FINRA Individual Form U4 and Form U5 Late Disclosure Processing Fee: Current Fee = \$10 per day, up to 30 days / New Fee = \$100 the first day, plus \$25 each additional day, up to 60 days.</p> <p>FINRA Hardcopy Fingerprint Processing Fee: Current Fee = \$13 / New Fee = \$30</p> <p>FINRA Electronic Fingerprint Processing Fee: Current Fee = \$13 / New Fee = \$15</p> <p>FINRA Mass Transfer Individual: Current Fee = \$85 / New Fee = \$100</p>                                                                                                                         | Firms, FINRA              |
| <p>The following new fee will be implemented effective January 2, 2013:</p> <p>FINRA Member Form BD Disclosure Review Processing Fee: \$110</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                           |
| <p>Effective January 2, 2013, the Annual CRD System processing fee will increase from \$30 to \$45.*</p> <p>* As part of the 2013 Renewal Program, Preliminary Renewal Statements reflecting the \$45 system processing fee will be made available to members in the fourth quarter of 2012. Please note, the fee increase will be included on 2013 Preliminary Renewal Statements.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Firms, FINRA              |
| <p>Effective January 2, 2013, Mass Transfer Fees will be assessed for all Mass Transfer types.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Firms, FINRA              |
| <p>Effective January 2, 2013, the annual registration fee for branch offices will have a new tiered structure:</p> <ul style="list-style-type: none"> <li>- \$175 for each of the first 250 branch offices registered by the member;</li> <li>- \$150 for each of branch offices 251 to 500 registered by the member;</li> <li>- \$125 for each of branch offices 501 to 1,000 registered by the member;</li> <li>- \$100 for each of branch offices 1,001 to 2,000 registered by the member; and</li> <li>- \$75 for every branch office greater than 2,000 registered by the member.</li> </ul> <p>Note: FINRA will continue to waive the Branch Office System Processing Fee and Annual Branch Office Registration Fee for one branch office per FINRA member per year. The fee increase will be included on 2013 Preliminary Renewal Statements.</p> | Firms, FINRA              |
| <p>Exempt Reporting Advisers will now be included in the Annual Renewal Program.</p> <p>In addition, the following regulator Renewals reports will be updated to include Exempt Reporting Adviser renewal fees and other new charge codes:</p> <ul style="list-style-type: none"> <li>- Renewals - Regulator Renewal Summary Report and Download</li> <li>- Renewals - Regulator Renewal Report and Download</li> <li>- Renewals - No Payment - Underpaid IARD-Only Firms Report and Download</li> </ul>                                                                                                                                                                                                                                                                                                                                                 | Firms, States, SEC        |
| <p>Exempt Reporting Advisers will now be included in the Annual Renewal Program.</p> <p>In addition, the following regulator Renewals reports will be updated to include Exempt Reporting Adviser renewal fees and other new charge codes:</p> <ul style="list-style-type: none"> <li>- Renewals - Branches Renewal Report and Download</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Firms, SEC                |
| <p>The Renewal Statement will be updated to display the Regulatory Contact information listed in Form ADV Item 1.K. for investment adviser firms. If no Regulatory Contact information is provided on Form ADV, the statement will display the Chief Compliance Officer contact information listed in Item 1.J. of Form ADV.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Firms, States, SEC, FINRA |
| <p>The Renewals Organization Information page header will no longer display the firm's Account Status.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Firms, FINRA              |
| <b>Web CRD - Form Filing</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                           |
| <p>A new Proprietary Trader Continuing Education session (S501) will be added. The S501 session will be tied to the following positions: *</p> <ul style="list-style-type: none"> <li>- (AF) Floor Broker - Options</li> <li>- (AO) Market Maker - Options</li> <li>- (FB) Floor Broker</li> <li>- (MM) Market Maker Authorized Trader-Options</li> <li>- (PT) Proprietary Trader</li> </ul> <p>*The S501 will tentatively be effective in June 2013.</p>                                                                                                                                                                                                                                                                                                                                                                                                | Firms, SROs, FINRA        |
| <p>The American Stock Exchange (AMEX) name will be updated to display as NYSE MKT LLC in Web CRD.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Firms, NYSE               |
| <p>The following exams will be retired and will no longer be available to select in the Examination Requests section of Form U4.</p> <ul style="list-style-type: none"> <li>- Series 5</li> <li>- Series 44</li> <li>- Series 45</li> <li>- Series 46</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Firms                     |

| DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                                                  | COMMUNITY                  |
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| <b>Web CRD - Form Filing (Continued)</b>                                                                                                                                                                                                                                                                                                                                                                                                                     |                            |
| The SRO Registrations section of Form U4 will be updated to display the Series 56 as the qualifying exam for the following positions:<br>- MM<br>- FB<br>- AF<br>- AO                                                                                                                                                                                                                                                                                        | Firms, SROs                |
| A new Individual Investigation DRP type will be added to Form U6. In addition, Form U6 Investigation DRP information will be made available on existing applicable reports.                                                                                                                                                                                                                                                                                  | States, SROs, FINRA        |
| For firms accessing Form U4 via Firefox, the Save and Delete buttons will correctly save or remove changes made to the individual's Affiliated Office Of Employment Address.                                                                                                                                                                                                                                                                                 | Firms                      |
| <b>Web CRD - Non-Filing Information</b>                                                                                                                                                                                                                                                                                                                                                                                                                      |                            |
| The Update Current Registration page within Organization NFI will be updated with an SRO Business Types section allowing SROs to identify firms conducting business related to Equities and/or Options.                                                                                                                                                                                                                                                      | SROs, FINRA                |
| <b>Web CRD - View Individual</b>                                                                                                                                                                                                                                                                                                                                                                                                                             |                            |
| A new "Look ahead" feature will provide name suggestions based on data entered into individual and firm single search fields in Web CRD.                                                                                                                                                                                                                                                                                                                     | Firms, States, SROs, FINRA |
| The Disclosure Letter Details in View Individual will now include the date the letter was first viewed by the firm and the user ID of the firm user that first viewed the letter.                                                                                                                                                                                                                                                                            | Firms, FINRA               |
| If a Docket/Case# entry within a DRP is noted on a form filing to be an individual's SSN, the entry will only be visible to users entitled to view SSNs in Web CRD.                                                                                                                                                                                                                                                                                          | Firms, States, SROs, FINRA |
| State users with CHRI entitlement will have the ability to view complete fingerprint results for Schedule A/B individuals. In order to view CHRI data:<br>- The jurisdiction must be a Form BD CHRI regulator (new regulator setting)<br>- The firm has or had an active registration with that jurisdiction<br>- The individual is currently affiliated as a Direct/Indirect Owner                                                                          | States                     |
| <b>Web CRD - Reports</b>                                                                                                                                                                                                                                                                                                                                                                                                                                     |                            |
| A new AG/RA Summary Count Report will be added for state users. This report will provide a count of individuals who have approved-equivalent registration statuses with the requesting jurisdiction. Additionally, the report will provide a count of individuals residing in the requesting jurisdiction.                                                                                                                                                   | States, FINRA              |
| A new Roster - Individual – Registered Individual Summary Download will be added. This report will display summary information for a firm's registered individuals. Only one record per person will be included in the CSV download.                                                                                                                                                                                                                         | Firms, SROs, FINRA         |
| A new Fingerprint – Snapshot report will be added. This report will provide current fingerprint status information for all RR and NRF individuals affiliated with a firm. This report can be requested in PDF or zipped CSV format. Only one record per individual will be included in the PDF or CSV download.                                                                                                                                              | Firms, SROs, FINRA         |
| The following reports will be updated to include the new Non-Member BD Disclosure Processing Fee:<br>- Accounting - Account Activity by Category Report<br>- Accounting - Account Activity Report<br>- Accounting - Firm Accounting Download                                                                                                                                                                                                                 | Firms, FINRA               |
| The following reports will now display the "CRD No." field as blank instead of a zero for transactions that are not associated with a CRD number:<br>- Accounting - Account Activity - Firms report<br>- Accounting - Accounting - Disbursement Detail Download                                                                                                                                                                                              | Firms                      |
| <b>Web CRD - Reports (Continued)</b>                                                                                                                                                                                                                                                                                                                                                                                                                         |                            |
| Effective January 2, 2013, the Accounting - Late Disclosure Fee Report will be updated as follows:<br>- The "# of Days Late" column will be replaced with a Description column, which will display a description of the Late Disclosure Fee charge code<br>- The "Number of Days Late" dropdown in the report request parameters will be updated to include a new max value of 60 days<br>- Formatting and sorting of the report data will also be addressed | Firms, FINRA               |
| The report generation restrictions currently in place for the State Data Download (SDD) report will be relaxed to allow states to request the SDD once every 7 calendar days. Only 10 reports will be generated overnight; the remaining reports in the queue will generate the following evening.                                                                                                                                                           | States                     |
| The Accounting - Disbursement Detail Report will display the Mass Transfer Dual AG/RA as two separate transactions instead of a single transaction.                                                                                                                                                                                                                                                                                                          | States, SROs, FINRA        |
| The Roster - Firm Active Registrations and Download report will be updated to include the following SRO Business Types responses: Equities and/or Options                                                                                                                                                                                                                                                                                                    | FINRA, SROs                |
| <b>Web CRD - Queues</b>                                                                                                                                                                                                                                                                                                                                                                                                                                      |                            |
| The Post Review Queue will no longer set the 'Has Regulatory Notes' flag to 'Y' when a firm submits a Form BDW filing and does not have Regulatory Notes in Web CRD.                                                                                                                                                                                                                                                                                         | FINRA                      |
| The Post Review Queue will display NQX registration termination requests submitted via Form BD (partial or full).                                                                                                                                                                                                                                                                                                                                            | FINRA                      |

| DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                                  | COMMUNITY |
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| <b>Web EFT</b>                                                                                                                                                                                                                                                                                                                                                                                                                               |           |
| The U4/U5/NRF Schema file will be updated with the following:<br><ul style="list-style-type: none"> <li>- New TOPAZ exchange and all associated positions</li> <li>- AMEX name will be changed to NYSE MKT LLC.</li> </ul> <p><i>* Refer to Web CRD-Form Filing section of the release notes for further details</i></p>                                                                                                                     | Firms     |
| The following Web EFT Reports will be updated to reflect the AMEX name change to NYSE MKT LLC and the addition of the new TOPAZ exchange:<br><ul style="list-style-type: none"> <li>- Individual Information Report</li> <li>- Post Accounting Report</li> <li>- Post Approvals Report</li> <li>- Post Deficiencies Report</li> <li>- Post Pending Report</li> <li>- Post Termination Report</li> </ul>                                      | Firms     |
| The 501 CE Exam (S501) and the 901 CE Exam (S901) will be added to the U4/U5 Schema. *<br><br>The following reports will includes these exams:<br><ul style="list-style-type: none"> <li>- Individual Information Report</li> <li>- Post Accounting Report</li> <li>- Post Deficiencies Report</li> <li>- Post Enrollment Report</li> <li>- Post Exam Report</li> </ul> <p><i>* The S501 will tentatively be effective in June 2013.</i></p> | Firms     |
| The following exams were retired and will be removed from the U4/U5 Schema:<br><ul style="list-style-type: none"> <li>- Series 5 (S5)</li> <li>- Series 44 (S44)</li> <li>- Series 45 (S45)</li> <li>- Series 46 (S46)</li> </ul> <p>The retired exams will remain in the posting Schemas until further notice.</p>                                                                                                                          | Firms     |
| The Post Accounting report will now display the CRD No. field as blank instead of a zero for transactions that are not associated with a CRD number.                                                                                                                                                                                                                                                                                         | Firms     |
| The Individual Information Report will correctly include all professional designations that were reported on a separate Form U4 filings.                                                                                                                                                                                                                                                                                                     | Firms     |
| <b>Arbitration Awards Online (AAO)</b> <i>*AAO changes will be effective October, 27, 2012.</i>                                                                                                                                                                                                                                                                                                                                              |           |
| The Arbitration Awards Online Terms of Use will be updated.                                                                                                                                                                                                                                                                                                                                                                                  | All       |
| The submenu options on AAO will be updated to match the submenu options on the Arbitration and Mediation pages on FINRA's website.                                                                                                                                                                                                                                                                                                           | All       |
| <b>BrokerCheck</b> <i>*BrokerCheck changes will be effective October, 27, 2012.</i>                                                                                                                                                                                                                                                                                                                                                          |           |
| The explanatory text on the BrokerCheck Individual Online Summary page will be revised to better describe an individual's registrations with a broker-dealer and/or investment adviser.                                                                                                                                                                                                                                                      | All       |
| A new "Look ahead" feature will provide name suggestions based on data entered into individual and firm single search fields in BrokerCheck.                                                                                                                                                                                                                                                                                                 | All       |
| The Case # hyperlink in BrokerCheck will only display as a hyperlink for cases housed in AAO. In addition, once the Case # hyperlink is selected, the system will navigate the user to the case details instead of the AAO search page.                                                                                                                                                                                                      | All       |
| <b>IARD Form Filing</b>                                                                                                                                                                                                                                                                                                                                                                                                                      |           |
| Investment Advisers will no longer be required to confirm the Chief Compliance Officer e-mail address listed in Form ADV Item 1.J.                                                                                                                                                                                                                                                                                                           | Firms     |
| An "other" check box will be added to the jurisdictions list in Form ADV Schedule D, Section 1.B.                                                                                                                                                                                                                                                                                                                                            | Firms     |
| The completeness check that displays when Form ADV Item 2.A.(7) is selected and 5.D(1)(g) is marked as 'None' will be updated to read as follows:<br>"As you have indicated your eligibility for SEC registration is that you are a pension consultant (Item 2.A.(7) is selected), Item 5.D.(1)(g) cannot have an answer of "None" [You cannot indicate that you have no pension and profit sharing plans as clients]."                      | Firms     |
| The following completeness check will be added to ensure the number of employees listed in Form ADV Item 5.B. is not greater than the number of employees listed in Item 5.A.:<br>"For Item 5.B.(1) through 5.B.(5), the number entered must be equal to or less than the number entered in Item 5.A."                                                                                                                                       | Firms     |
| The following completeness check will be added to Form ADV Item 4.B. to prevent users from entering a future Date of Succession:<br>"Date of Succession cannot be greater than today's date."                                                                                                                                                                                                                                                | Firms     |
| The following completeness check will be added to Form ADV Item 5.C.(2) to prevent firms from entering a percentage greater than 100%:<br>"Percentage of Clients that are non-United States persons must be a value less than or equal to 100%."                                                                                                                                                                                             | Firms     |
| The following completeness check will be added to Form ADV Items 5.D.(1) and 5.C.(1) requiring firms to indicate the type of client if the number of clients listed is greater than zero:<br>"When Item 5.C.(1) has a value other than zero, at least one Item 5.D.(1)(a) through 5.D.(1)(m) must be a value other than "None"."                                                                                                             | Firms     |
| The following completeness check will be added to Form ADV Item 5.E. requiring at least one box to be selected for that item:<br>"A response is required for Item 5.E."<br>In addition, a completeness check will be added to Form ADV Item 5.E.(7) requiring text to be entered when "Other" is the selected response.                                                                                                                      | Firms     |

| DESCRIPTION                                                                                                                                                                                                                                                                                                                                                                                                                  | COMMUNITY                  |
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| The following completeness check for Form ADV Item 5.G.(3) Advisory Activities will be modified:<br>"You have indicated that a type of advisory service you offer is "Portfolio management for investment companies" (Item 5.G(3) is selected). You cannot indicate that you have no investment companies or business development companies as clients (Item 5.D(1)(d) and 5.D(1)(e) cannot both have an answer of "None")." | Firms                      |
| <b>IARD Form Filing (Continued)</b>                                                                                                                                                                                                                                                                                                                                                                                          |                            |
| On Form ADV Schedule D, Section 5.G.(3) - Advisers to Registered Investment Companies and Business, the 'Update' hyperlink will be changed to display as a 'Save' hyperlink.                                                                                                                                                                                                                                                 | Firms                      |
| The following completeness check will be added to Form ADV Item 6.A. requiring the same box be checked on Schedule D, Section 6.A.:<br>"For all the options selected in Schedule D, Section 6.A, the corresponding options must also be selected from Item 6.A on the main part of the Form ADV."                                                                                                                            | Firms                      |
| The following completeness check will be added to Form ADV Item 6.B.:<br>"You have answered "No" to Item 6.B.(1) but have responded to Item 6.B.(2). Please clear your answer to Item 6.B.(2) or change your response to Item 6.B.(1)."                                                                                                                                                                                      | Firms                      |
| The following completeness check will be added to Schedule D, Section 7.A. Financial Industry Affiliations:<br>"You must have at least one Schedule D Section 7.A. entry with a response of "Yes" to Question 8(a) when Item 9.D.(2) is answered "Yes"."                                                                                                                                                                     | Firms                      |
| A completeness check will be added to Form ADV Schedule D, Section 7.A. requiring the same box to be selected in Form ADV Item 7.A as selected in Schedule D, Section 7.A(5).                                                                                                                                                                                                                                                | Firms                      |
| A clear button will be added to Form ADV - Schedule D, Section 7.A.(9)(a): "If the related person is an investment adviser, is it exempt from registration?"                                                                                                                                                                                                                                                                 | Firms                      |
| A new clone feature will be added to Form ADV Schedule D, Section 7.B.(1) which will allow firms to clone a full fund (responses to questions 2 through 28).                                                                                                                                                                                                                                                                 | Firms                      |
| The warning message that displays for Form ADV Schedule D, Section 7.B.(1) question (1)(a) when the identifier for a private fund exists on another adviser's Form ADV will be modified to clearly state that the firm can continue with submission of the filing.                                                                                                                                                           | Firms                      |
| Completeness checks will be added to Form ADV, Schedule D 7.B.(1) requiring responses to questions 23(g) and 23(h) only when question 23(a)(1) is answered 'Yes'.                                                                                                                                                                                                                                                            | Firms                      |
| The character limit in Form ADV Schedule D, Miscellaneous Section will be increased to allow up to 10,000 characters.                                                                                                                                                                                                                                                                                                        | Firms                      |
| A completeness check will be added to Form ADV Schedule D, Section 9.C. requires Form ADV Item 9.C(2), (3), or (4) to be checked if Schedule D, Section 9.C.(5)(A), (B), or (C) are checked respectively.                                                                                                                                                                                                                    | Firms                      |
| Form ADV, Part 1B and the Part 1B DRPs will be updated and re-versioned.                                                                                                                                                                                                                                                                                                                                                     | Firms                      |
| The ability to link Part 1B Bond and Judgment/Lien DRPs to the Form BD will no longer be available. The DRPs may be copied from the Form BD, but they will no longer have the option to link to the Form BD.                                                                                                                                                                                                                 | Firms                      |
| <b>IARD - Reports</b>                                                                                                                                                                                                                                                                                                                                                                                                        |                            |
| The IA State - Jurisdiction Location Statistics Report will now include Exempt Reporting Advisers.                                                                                                                                                                                                                                                                                                                           | States                     |
| The Snapshot – IA Firm Report will be updated to display a message if no data is provided for a section.                                                                                                                                                                                                                                                                                                                     | Firms, States, SEC         |
| <b>IARD - View Organization</b>                                                                                                                                                                                                                                                                                                                                                                                              |                            |
| A new queue will be added to notify states when a firm files as a State Exempt Reporting Adviser with their jurisdiction.                                                                                                                                                                                                                                                                                                    | States                     |
| The SEC will now be able to send the SEC Compliance Notification to selected firm types.                                                                                                                                                                                                                                                                                                                                     | SEC                        |
| A new "Look ahead" feature will provide name suggestions based on data entered into individual and firm single search fields in IARD.                                                                                                                                                                                                                                                                                        | Firms, States, SROs, FINRA |
| <b>IAPD</b> *IAPD changes will be effective October, 27, 2012.                                                                                                                                                                                                                                                                                                                                                               |                            |
| A new "Look ahead" feature will provide name suggestions based on data entered into individual and firm single search fields in IAPD.                                                                                                                                                                                                                                                                                        | All                        |
| The explanatory text on the IAPD Individual Online Summary page will be revised to better describe an individual's registrations with a broker-dealer and/or investment adviser.                                                                                                                                                                                                                                             | All                        |
| IAPD will no longer display the supervision and compliance contact information entered on Form ADV Part 1B, Item 2.A.                                                                                                                                                                                                                                                                                                        | All                        |
| IAPD will no longer display the IRS Employment Identification Number provided on Form ADV Part 1B Business Information.                                                                                                                                                                                                                                                                                                      | All                        |
| <b>PFRD</b>                                                                                                                                                                                                                                                                                                                                                                                                                  |                            |
| A Reports feature will be added to PFRD. In addition, a new Form PF Aggregate Data Snapshot Report will be created which provides all of the most recent information filed on Form PF for each type of fund.                                                                                                                                                                                                                 | SEC                        |
| A new PFRD system entitlement will be added to allow a CFTC user to only view the Commodity Pool funds submitted on a Form PF filing.                                                                                                                                                                                                                                                                                        | CFTC, SEC                  |
| Form PF Section 1a, Question 1b will be modified to allow firms to include Related Persons that do not have CRD Numbers or 801 Numbers when the related persons are "relying advisers" per SEC January 2012 ABA no-action letter.                                                                                                                                                                                            | Firms                      |
| The length of the Measure Type fields for Form PF questions 26 and 30 will be increased to allow 15 digits plus 2 decimal places.                                                                                                                                                                                                                                                                                            | Firms                      |

**RAD Sustainment Release 2012.4.3 Release Notes - February 4, 2013**

| DESCRIPTION                                                                                                                                                                                                                                                                     | COMMUNITY     |
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| <b>IARD</b>                                                                                                                                                                                                                                                                     |               |
| The Form ADV will be updated to correct an issue with previously filed Bond and Judgment Lien DRPs not displaying on Form ADV Amendments.                                                                                                                                       | Firms, States |
| <b>Private Funds Reporting Depository (PFRD)</b>                                                                                                                                                                                                                                |               |
| The accounting completeness check message is being changed from "You do not have sufficient funds to submit the filing" to "You do not have sufficient funding in your IARD Daily Account to cover the filing fees. This filing cannot be submitted with insufficient funding." | Firms         |
| The completeness check for Form PF Question 7 is being modified to allow a PFID to be entered in Question 7 when it is marked as "Update not Required" on the main Fund List.                                                                                                   | Firms         |