DESCRIPTION	COMMUNITY
Web CRD - Accounting	
The “Web CRD-IARD E-Pay Application” link in CRD Accounting will be replaced by a new “Make an Electronic Deposit/Payment” link. The new link will take users to FINRA’s E-Bill application, which can be used to make payments into the firm’s Flex Funding Account (Daily Account).	Firms
Web CRD - Form Filing	
New functionality will be added to allow firms to “bulk” terminate NRF associations online through Web CRD.	Firms
Completeness checks will be added to require that the ZIP Code for US addresses must be numeric and be in one of the following formats: 99999-9999 or 99999.	Firms
A completeness check will be added to not allow an IA only Firm to submit a Page 2 Amendment for Form BD Schedule A/B and an Initial Page 2 for Form BD Schedule A/B.	Firms
The Form U4 Exam Request page will include the S501 CE session.	Firms
RA Individual Transition functionality will be removed from Non-Filing Information (NFI).	Firms
Web CRD - Qualifications and Exams	
PROCTOR result information (Exam and CE scores) will be displayed in Web CRD on a near-real time basis.	All
Web CRD will be enhanced to create a generic (non-position specific) prerequisite qualifier deficiency instead of a position-specific deficiency.	All
Web CRD will be enhanced to recognize positions or exams that are currently deficient when evaluating base qualifiers and prerequisite qualifiers.	All
Web CRD View Individual Exam History will include Exam Appointment Information such as appointment date and test center location.	All
The “Expired” exam window status on the Exam Information page is being changed to “Window Expired.”	All
The default prerequisite qualifier for the GP position will be changed to the GS (S7).	All
Individuals holding the CT and TP positions will now be assigned the S201 CE session.	All
New functionality will be added for firms to view registration qualifications for individuals currently registered with them or seeking registration with them. The functionality will be available through the Pre-Registration Search and View Individual Information pages.	Firms
Individuals that have their CE anniversary requirement deferred due to active military duty will have their own deferral status called “Military Deferred.” Previously all deferrals were captured under the Foreign Deferred status.	Firms, FINRA
Web CRD - Queues and Notifications	
The Firm Disclosure Letter Queue will allow users to mark notices as "Resolved" so that they do not continue to appear in the queue.	Firms
The “Notify when a registered or NRF individual enters Firm Outstanding Disclosure Letter Notice Queue” email notification will be modified to include NRF Individuals associated with the firm. The notification currently only includes registered individuals.	Firms
The following email notifications will be sent when an organization disclosure letter or deficiency is first created, and then every day beginning on day 35 if the matter is still unresolved: - Notify when a letter enters the Organization Disclosure Letters Queue - Notify when firm has an outstanding Form BD deficiency	Firms
Web CRD - Reports	
All RA Individual Transition reports will be removed.	All
When requesting a firm snapshot report for a joint BD/IA entity, users will be able to simultaneously request both the BD and IA snapshot reports.	All
The ‘Branch Associated Individuals Report’ will include a column indicating if an individual is "Located At" or "Supervised From" a location.	All
The 'CE - CE Download' report will be converted from a text file to CSV format.	Firms
A new ‘Individual – CRD filings in lieu of Rule 4530 Application Filing Report’ will be created to provide firms and FINRA with a list of all Disclosure Reporting Pages (DRP) that were submitted to also be applied to satisfy a Rule 4530(a)(1) reporting requirement.	Firms
The following changes will be made to the ‘Roster – Individual Firms Report and Download’: - The report will now be available in CSV format - The report will now include the Firm Billing Code that the firm enters in Section 1 of the Form U4.	Firms, SROs, FINRA
A new ‘Jurisdiction Active Status Download Report’ will be created to provide the total number of applicants and registrants with specified active statuses for a specified date.	States

DESCRIPTION	COMMUNITY
The 'Individual - Jurisdiction Location Statistics Report' (CRD) and 'IA State - Jurisdiction Location Statistics Report' (IARD) have been combined into the new 'Jurisdiction Location Statistics Download' so that a state may request a single report to obtain a count of registrants, notice filers and ERA firms that are currently effective in their state (both BD and IA).	States
The 'Statutory Disqualified Individuals Report' will include Direct/Indirect Owners that have an SD status.	FINRA
A new 'Statutory Disqualified Firms Download Report' will be created to provide Firm Statutory Disqualification information.	FINRA
Web CRD - View Individual and Individual Processing	
Users will be able to search by SSN in the main Individual Search and Quick Search fields in Web CRD without including dashes.	All
The "Statutory Disqualification Status" label on the Individual Composite Information page will be changed to a hyperlink that opens the list of SD Statuses with user-friendly explanations.	All
Web CRD - Miscellaneous	
A print option will be added to the Broadcast Message page in Web CRD & IARD.	All
Web EFT	
The IIR xsd documentation will be updated to change the description for the following items: - PSTN-Position to PSTN-Prerequisite Deficiency. Only the description is changing, no change to the code. - The IIR xsd documentation will be updated to change the description for EXPIRED-Expired to EXPIRED-Window Expired. Only the description is changing, no change to the code.	Firms
Completeness checks will be added to require that the ZIP Code for US addresses must be numeric and be in one of the following formats: 99999-9999 or 99999.	Firms
A completeness check will be added to not allow an IA only Web EFT Firm to submit a Page 2 Amendment for Form BD Schedule A/B and an Initial Page 2 for Form BD Schedule A/B.	Firms
The S501 CE Session will be available for request as an untracked session through WebEFT. This attribute was previously added to the Schema with Release 2011.4.	Firms
IARD - Form Filing	
Form ADV Item 9.C Custody warning messages will be changed to completeness checks requiring an answer to Schedule D, Section 9.C.(5) be provided when Part 1A, Item 9.C.(3) and/or 9.C.(4) is selected.	Firms
The Form ADV Schedule D Section 9.C. will correctly save the checkbox responses for questions 5.(A), 5.(B), and 5.(C).	Firms
For Question 12.A of the Form ADV Regulatory Action DRP, the field "Monetary/Fine Amount: $" will be modified to allow up to 15 digits with 2 decimal places.	Firms
State IA Firm Transition functionality will be removed from Non-Filing Information (NFI).	Firms
IARD - Queues & Reports	
When requesting a firm snapshot report for a joint BD/IA entity, users will be able to simultaneously request the both the BD and IA Snapshot reports.	All
The 'Individual - Jurisdiction Location Statistics Report' (CRD) and 'IA State - Jurisdiction Location Statistics Report' (IARD) have been combined into the new 'Jurisdiction Location Statistics Download' so that a state may request a single report to obtain a count of registrants, notice filers and ERA firms that are currently effective in their state (both BD and IA).	States
The 'IA State - Firm Status Report and Download' will include the firm's Regulatory Assets Under Management (Form ADV Part 1A, Item 5.F).	States
All IARD Transition queues will be removed.	States
IARD – Notifications	
The SEC Compliance Notification in IARD will send the text as entered instead of defaulting to all capital letters.	SEC
The following information will be added to Form ADV-E termination email notification: - Address (street, city, state, zip, country) -- principal office and place of business of the investment adviser - SEC regional office code - Investment Adviser's registration status (approved, 120-day approved, terminated, revoked, or cancelled)	SEC
IARD – Miscellaneous	
A hyperlink to the SEC and NASAA Frequently Asked Question pages will be added to the IARD sitemap.	All

DESCRIPTION	COMMUNITY
IAPD **IAPD changes will be effective June 15, 2013.*	
The Disclosure Event type and number of disclosures for each type of event will be added to the IAPD online summary page.	All
New reports that provide high level Form ADV information about current SEC and State registered/exempt reporting investment adviser firms will be made available on the IAPD website. The reports will be available for download in XML format.	All
BrokerCheck **BrokerCheck changes will be effective June 15, 2013.*	
The Disclosure Event type and number of disclosures for each type of event will be added to the BrokerCheck online summary page.	All
New links will be added on BrokerCheck to provide users additional investment related resources/tools. On the Summary page another link will allow users to initiate a new search for a firm/individual.	All
Arbitration Awards Online (AAO) **AAO changes will be effective June 15, 2013*	
The AAO Web site is being updated to provide a more user-friendly experience: - New search options are being added to allow users to refine their search results. - New Help text will be provided to assist with basic and advanced searches. - The ability to view “Related Documents” will be added to the Search Results for cases that are associated with more than one document type. - The look and feel will be updated to be consistent with other FINRA Web sites such as BrokerCheck and FINRA Disciplinary Actions (FDA).	All
PFRD	
A hyperlink to the SEC Frequently Asked Question page will be added to the PFRD sitemap.	All
In PFRD Main, the following hyperlinks will be renamed for non-Firm users: - 'Filing History' to 'Organization Search - Filing History' - 'XML Upload History' to 'Organization Search - XML Upload History'	SEC, FINRA
The Form PF Aggregate Data Snapshot Report will now include values from questions 13(b) and 44 in the sum of derivatives positions.	SEC
Form PF question 17 will no longer have a completeness check that requires an entry for both "gross performance" and "net of management fees and incentive fees and allocations" if one is entered.	Firms
Form PF questions 20 and 41 will now allow multiple "Other" responses to be entered.	Firms
Form PF questions 26, 30, and 44 will no longer allow negative values. The values entered must be zero or higher.	Firms
Form PF questions 40.(b) (vii), (viii), (ix) will now allow up to 4 decimal places. The decimal places will be optional (not required).	Firms
Form PF questions 67, 69, and 76 will now allow negative values.	Firms