DESCRIPTION	COMMUNITY
E-Bill	
Firms will be able to make payments to their Web CRD/IARD Renewal Account through E-Bill.	Firms
Firms will be able to reallocate funds from their FINRA Flex-Funding Account to open invoices and their Web CRD/IARD Renewal Account.	Firms
Web CRD - Accounting	
The Web CRD/IARD Daily Account will be re-named the 'Flex-Funding Account'.	FINRA, Firms
The Web CRD/IARD Renewal Account landing page will be removed. When users access the Renewal Account, they will be taken directly to the Renewal Statement (when available).	FINRA, Firms
Web CRD - Form Filing	
A new completeness check will display on Form U4 if the representative is less than 18 years old and is requesting FINRA registration.	Firms
A new completeness check will be added to require an answer to the existing question 4A and the new question 4B of the Form U4 Judgment/Lien DRP. Additionally, when applicable, the Late Disclosure Filing Fee will be systematically assessed rather than through the current manual process.	FINRA, Firms
The system will be updated to display the completeness check requiring an answer to the "Investment Related?" question in the Employment History section of Form U4.	Firms
The Jurisdiction Registration section of Form U4/U5 will include the RA position for Minnesota (MN).	Firms
Web CRD - View Individual and Individual Processing	
Users with "View SSN" entitlement will be required to click a new "view" button to view SSNs in Web CRD/IARD. The system will audit the use of the SSN view button.	All
The ability to view the FBI response to fingerprint card submissions will require the new "View Fingerprint Statuses (BD-Only)" entitlement. Users that are granted this new entitlement will be required to click a new "Show Statuses" button and agree to Terms and Conditions to view FBI response fingerprint statuses. The system will audit the use of the "Show Statuses" button.	All
The Web CRD Individual Search function will be enhanced to allow for both Simple and Advanced searches.	All
Web CRD - View Organization and Organization Processing	
The Web CRD Organization Search function will be enhanced to allow for both Simple and Advanced searches.	All
Firms registered with a Phase II participating regulator will display in Web CRD if they have an active Form BD on file.	All
Web CRD - Reports and Notifications	
A new 'Individual - Viewed SSN Download' report will be available to track usage of the new "View SSN" button in Web CRD & IARD. The ability to request this report will require a new entitlement.	All
The ability to request the following fingerprint-related reports will require a new entitlement: • Fingerprint - Exception Download • Fingerprint - Reconciliation Download • Fingerprint - Snapshot Report	All
The 'Fingerprint - Status and Download' report will be retired.	All
The 'Exam - Exam Only Individuals' (U10) report will display the SSN field as partially masked (e.g. xxx-xx-1234). The report will now be available in CSV format.	States
The 'Individual - Termination by Firm Download' report will be available to state users.	States
The ability to request the State Data Download (SDD) report will require a new entitlement.	FINRA, States
A new 'Individual - CRD Filings in lieu of Rule 4530 Application Filing Details Report' will be available to provide firms and FINRA with full details from Disclosure Reporting Pages (DRP) that were submitted to satisfy the FINRA Rule 4530(a)(1) reporting requirement.	FINRA, Firms
A new 'Individual - Proctor Appointment Data Download' report will be available to list individuals with open exam and CE enrollments that have scheduled an appointment with a testing center.	FINRA, Firms

DESCRIPTION	COMMUNITY
The 'Notify when an individual has a fingerprint updated with a status of RAPP - BD Only' email notification will require the new "Maintain RAPP Notification" entitlement to request the notification.	Firms
Web CRD - Miscellaneous	
The TOPAZ exchange acronym will be updated to display as GEMINI in Web CRD.	All
Web EFT	
A new daily posting report will be available to list individuals with open exam and CE enrollments that have scheduled an appointment with a testing center.	Firms
A new 'Include SSN?' flag will be added to the Individual Information Report (IIR) and posting reports, giving firms the option to include or exclude SSNs from their reports. The default will be to include the SSN. Firms will need to contact FINRA to exclude SSNs from their reports.	Firms
A data element for the new question 4B of the Judgment/Lien DRP will be added to the IIR.	Firms
A new completeness check will be returned on Form U4 uploads if the representative is less than 18 years old and is requesting FINRA registration.	Firms
The system will be updated to display the completeness check requiring an answer to the "Investment Related?" question in the Employment History section of Form U4.	Firms
The U4/U5/NRF xsd will be modified to allow firms to request/terminate the RA position for Minnesota (MN).	Firms
The TOPAZ exchange acronym will be updated to display as GEMINI in the U4/U5/NRF xsd, IIR and posting reports.	Firms
IARD - Form Filing	
The Form ADV-E will be available to state-registered Investment Advisers.	Firms, States
The following new completeness checks will be added to the Form ADV: • Item 2.A.(9) should only be selected when the filing firm is not currently registered with the SEC or states. • Schedule D, Section 2.A.(8) - SEC number must be for an active registered SEC investment adviser. • Schedule D Section 7.B.(1) - At least one private fund in Schedule D Section 7.B.(1) must be marked as a Venture Capital Fund in question 7.B.(1)(10), or at least one fund must be reported in Schedule D Section 7.B.(2) when Item 2.B.(1) is selected.	Firms
The following warning message will be added to the Form ADV: • Schedule D Section 7.B.(1) - A Master Fund private fund identification number for Schedule D 7.B.(1) question 6(d) should only be entered if the Master Fund is reported in its own 7.B.(1) section question 1(b).	Firms
The Foreign Financial Regulatory Authority drop-down lists in Form ADV will be updated to include the following new values: • United Kingdom – Financial Conduct Authority • United Kingdom – Prudential Regulation Authority • Cayman Islands – Cayman Islands Monetary Authority The “United Kingdom – Financial Services Authority” value will be removed from the list. All current entries with this value will be changed to “United Kingdom – Financial Conduct Authority”.	SEC, States, Firms
Instructional text will be added to the Change Name functionality on Schedule A/B and Schedule D Section 10.A of Form ADV.	Firms
IARD - View Organization and Organization Processing	
The IARD Organization Search function will be enhanced to allow for both Simple and Advanced searches.	All
An Exempt Reporting Adviser's (ERA) current status will be added to the Identifying Information page in IARD View Organization.	SEC, States

DESCRIPTION	COMMUNITY
IARD - Queues & Reports	
The following new functionality will be added for state users to support Form ADV-E: • New 'Form ADV-E' notice queue. • New 'IA State - Form ADV-E Filings and Terminations Download' report. • New notifications for ADV-E Terminations and Qualified Opinions.	States
The 'Renewals - No Payment - Underpaid IARD-Only Firms Report and Download' will be modified to remove firms that are terminated or have requested termination from the requesting jurisdiction. The report will also indicate whether the firm is registered or notice filed with the requesting jurisdiction.	States
The IARD transition queues will be retired.	States
The IARD regulator queues will be updated to include new pagination and sorting functionality.	SEC, States
A new SEC ERA notice queue will be added.	SEC
The 'SEC ADV-E Filings and Termination' report will be updated to include firms with Active registration statuses.	SEC
The following changes will be made to the IA SEC - Firm Roster FOIA Download report: • Include State Notice Filing Information. • Remove FINRA BD Status column. • Include fiscal year end month data captured by Item 3.B of Form ADV.	SEC
IARD - Notifications	
A new email notification will be sent to Investment Adviser firms that have initiated a Form ADV-E but no surprise examination report has been submitted from the specified accountant in the past 16 months.	SEC, States, Firms
Email notifications regarding Form ADV Annual Amendments that are due or delinquent will be sent to Exempt Reporting Advisers (ERA).	SEC, Firms
All firm email notifications will now be sent from the new IARDNotifications@finra.org email address.	Firms
IAPD *IAPD changes will be effective October 26, 2013.	
A new report that provides registration information about currently registered investment adviser individuals will be made available on the IAPD website. The report will be available for download in XML format.	All
The IAPD website availability will be expanded to nearly 24 hours a day.	All
BrokerCheck *BrokerCheck changes will be effective October 26, 2013 (unless otherwise noted).	
BrokerCheck search and summary pages will be enhanced to make the information easier to understand for the public investor. The search results will clearly indicate if an individual is/is not currently registered. The summary will include a timeline that will visually depict an individual's registration and disclosure history among other changes.	All
New BrokerCheck search functionality will be incorporated into FINRA.org that will allow users to search for an individual or firm directly from the FINRA.org homepage. Note: This new feature will be effective on November 2, 2013.	All
The BrokerCheck website availability will be expanded to nearly 24 hours a day.	All
PFRD	
The Form PF XML schema will be updated to generate schema validation errors when white spaces are included for any allowed values in XML uploads.	Firms
Form PF Section 1a will allow users to provide an NFA Adviser ID, SEC Number, and/or CRD Number when adding a related person that is a Relying Adviser/SPV.	Firms

DESCRIPTION	COMMUNITY
Form PF Print Preview and Print Historical will display a "Y" in the Commodity Pool Fund column of the Private Fund list when the NFA Fund ID is provided for the fund in Section 1b, Question 5(c).	Firms
Form PF historical filings will include the date and time that the filing was submitted.	Firms

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DESCRIPTION	COMMUNITY
IARD Form Filing	
New completeness checks are being added to Form ADV to ensure that websites provided in Schedule D, Section 1.I are in the correct format, such as: • The “@” symbol will not be allowed • All website addresses must begin with "http://" or "https://"	Firms
The completeness checks and page level validations for Schedule D, Section 7.B.(1) of Form ADV will be updated to provide additional guidance on providing a Form D number in Question 22.	Firms