

| SUMMARY | IMPACTED SYSTEM AREA | COMMUNITY |
|--|----------------------------|-----------------------------|
| General | | |
| The nightly Web CRD/IARD processing jobs will run after system shutdown on Fridays. This will make updated data (such as Flex-Funding Account balances) available on Saturdays. | All | FINRA, Firms, States, SRO's |
| Web CRD | | |
| Web CRD will no longer automatically convert text entered on individual form filings to all capital letters. Previously filed data will remain in upper case, and new or modified data will retain the case as entered on the filing. (Note: Users are <u>not</u> required to re-submit previously filed data solely for the purpose of changing to mixed case.) | U4, U5, NRF, Individual U6 | FINRA, Firms, States, SROs |
| The following look-and-feel enhancements have been made across all individual forms: <ul style="list-style-type: none"> • Form sections that contain multiple list items (such as Residential History) will display in an easier to read grid format • List items will be added and/or edited in pop-up windows rather than new browser pages • Upgraded calendar controls will be available on long date fields • When navigating within a filing, the links for the individual Disclosure Reporting Page (DRP) categories will be added to the main list of form sections (rather than on a separate page) • Some page level validations will be converted to completeness checks • The Print Preview function will include a redline mode that helps identify changes from the previous filing (does not apply to U6) | U4, U5, NRF, Individual U6 | FINRA, Firms, States, SRO's |
| Country names will be converted from free text fields to a standardized list of allowed values. Unconverted countries will need to be manually mapped to a new allowed country value upon submission of the individual's next filing. | U4, U5 & NRF | FINRA, Firms |
| The 'State/Province of Birth' field will be split into two separate fields in order to capture data more accurately. Previously filed data will be mapped wherever possible. | U4 & NRF | FINRA, Firms |
| When a U.S. state is provided, the country United States is now required. Conversely, if a U.S. state is not selected, then country United States cannot be selected. | U4, U5 & NRF | FINRA, Firms |
| When a U.S. state is provided, the postal code is required and must be a valid code for that state. | U4, U5 & NRF | FINRA, Firms |
| Dates prior to the year 1900 will not be allowed in any date field on any individual forms. | U4, U5, NRF, Individual U6 | FINRA, Firms, States, SRO's |

| SUMMARY | IMPACTED SYSTEM AREA | COMMUNITY |
|--|----------------------|-----------------------------|
| The 'Not on List' option in the state dropdown in the Customer Complaint DRP will be replaced with the value 'N/A'. | U4 & U5 | FINRA, Firms |
| The 'Current Residential Address' section will no longer be available on Partial U5 filings. Since the individual is still registered with the firm, residential address updates should be made via a U4 Amendment. | U5 | Firms |
| The Specialist Clerk (SC) position will no longer be available as a registration category for NYSE and NYSE-MKT on Forms U4 and U5. | U4 & U5 | Firms, SROs |
| <p>The following positions will be available as registration categories for MIAX on Forms U4 and U5:</p> <ul style="list-style-type: none"> • Canada-Limited General Securities Representative (CD) • Canada-Limited General Securities Representative (CN) • United Kingdom-Limited General Securities Representative (IE) | U4 & U5 | Forms, SROs |
| Individual Filing History pages will include a new User ID column that displays the user name of the person that submitted the filing. Non-FINRA users will only see data in this column for filings submitted by their own organization. | View Individual | FINRA, Firms, States, SRO's |
| On all Pending Filings search results pages the Reference Number column will be replaced by Filing ID. | All Forms | FINRA, Firms, States, SRO's |
| Web EFT | | |
| The process for FINRA to consume XML uploads will be updated, and this new process requires new EFT form filing schemas with an element-centric format instead of the previously used attribute-heavy schema. Going forward, only uploads in the new format will be accepted. | U4, U5 & NRF Uploads | EFT Subscribers |
| Filers will be able to include new and amended Disclosure Reporting Pages (DRP) in their Form U4 and U5 XML uploads. | U4 & U5 Uploads | EFT Subscribers |
| <p>Web CRD will no longer automatically convert text entered on individual forms uploaded through EFT to all capital letters. The system will preserve the case as provided by the user in the upload file.</p> <p>(Note: Users are <u>not</u> required to re-submit previously filed data solely for the purpose of changing to mixed case.)</p> | U4, U5 & NRF Uploads | EFT Subscribers |
| Dates prior to the year 1900 will not be allowed in any date field on any individual forms. | U4, U5 & NRF Uploads | EFT Subscribers |
| The Specialist Clerk (SC) position will no longer be available as a registration category for NYSE and NYSE-MKT on Forms U4 and U5. | U4 & U5 Uploads | EFT Subscribers |

| SUMMARY | IMPACTED SYSTEM AREA | COMMUNITY |
|---|----------------------|-----------------|
| <p>The following positions will be available as registration categories for MIAX on Forms U4 and U5:</p> <ul style="list-style-type: none"> • Canada-Limited General Securities Representative (CD) • Canada-Limited General Securities Representative (CN) • United Kingdom-Limited General Securities Representative (IE) | U4 & U5 Uploads | EFT Subscribers |
| <p>The Current Residential Address section will no longer be available on Partial U5 uploads. Since the individual is still registered with the firm, residential address updates should be made via a U4 Amendment.</p> | U5 Uploads | EFT Subscribers |
| <p>The list of allowed values for State and Country will be updated to a standardized list that will be used across all form filing and report schemas. Where possible, existing State and Country values in reports will be converted to values from the new list.</p> <p>Values that cannot be converted will need to be manually mapped to a new value upon submission of the individual's next filing. The old values continue to be available in reports for a time to assist firms in updating the corresponding records.</p> | Uploads & Reports | EFT Subscribers |
| <p>When a U.S. state is provided, the country United States is now required. Also, the postal code is required and must be a valid code for that state.</p> | U4, U5 & NRF Uploads | EFT Subscribers |
| <p>The weekend report generation schedule will be modified to provide reports on Saturdays. The following reports will be available on Saturday morning and will contain data from Friday:</p> <ul style="list-style-type: none"> • Branch Information Report (BIR) • Individual Information Report (IIR) Delta • All Post Reports (both accounting and non-accounting) | Reports | EFT Subscribers |
| <p>Since form filing data will no longer be automatically converted to all capital letters, the case of the information delivered in EFT download reports will vary. Previously filed data will remain in upper case, and new or modified data will retain the case as entered on the filing.</p> | Reports | EFT Subscribers |
| <p>The following reports will be updated to include data for online continuing education (CE) sessions:</p> <ul style="list-style-type: none"> • Full IIR and IIR Delta • Post Appointments <p>(Note: Online CE data will not be visible in reports until the program begins in Q4 2015.)</p> | Reports | EFT Subscribers |

| SUMMARY | IMPACTED SYSTEM AREA | COMMUNITY |
|---|----------------------|-----------------|
| The IIR will include new standardized sequence numbers for both registered and non-registered Office of Employment locations. The old sequence numbers will also continue to be available in the report for a time to assist firms with mapping existing records to the new values. | Reports | EFT Subscribers |
| The IIR will be updated to differentiate form filings from non-filing events (e.g. Mass Transfer). | Reports | EFT Subscribers |
| Firms that have selected to receive both fingerprint information and recently terminated individuals in the IIR will receive the final fingerprint status information for terminated individuals. | Reports | EFT Subscribers |
| Individuals terminated with a Post-Dated U5 during the Renewals season will no longer erroneously re-appear in the Post Approvals report. | Reports | EFT Subscribers |