

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
Web CRD		
Former FINRA registered representatives have the ability to update their CRD residential information via the Online Snapshot site .	Individual Information	Individuals
The Online Snapshot includes an individual's most recent answers to the Form U4 Disclosure Questions (Section 14).	Individual Information	Individuals
Firms now have the ability to submit a Form U4 Amendment filing to change Office of Employment end dates in the General Information section of Form U4 (Section 1).	Form U4	Firms
A Judgment/Lien Disclosure Reporting Page (DRP) completeness check has been relaxed to allow users to file a DRP when the date the individual learned of the lien (Question 4.b.) is a more recent date than the disposition date (Question 7.a.). However, a warning message will display advising users to review/confirm the dates provided.	Form U4	Firms
The Civil/Judicial Disclosure Reporting Page (DRP) now allows users to enter an explanation for any Monetary Related sanction type selected.	Form U4 & U6	Firms, FINRA, States
The Bankruptcy Disclosure Reporting page (DRP) now allows users to file a new DRP for an event that is already beyond 10 years.	Form U4 & U6	Firms, FINRA, States
State users now have the ability to add a URL as text to Regulatory Action DRPs that can be used to view the internet posting of the enforcement action(s) filed by the reporting jurisdiction.	Form U6	States
Pending SEC exchange approval, the Investors' Exchange LLC (IEX) will be added as an SRO to Forms U4, U5, BD and BDW. The following positions will also be added: GS – General Securities Representative (S7) GP – General Securities Principal (S24) PT – Proprietary Trader (S56) TP – Proprietary Trader Principal (S56 & S24) FN – Financial and Operations Principal (S27) IE – United Kingdom – Limited General Securities Representative (S17) CD – Canada – Limited General Securities Representative with Options (S37) CN – Canada – Limited General Securities Representative (S38)	Forms U4, U5, BD & BDW	All
Pending SEC exchange approval, ISE Mercury, LLC (ISE Mercury) will be added as an SRO to Forms U4, U5, BD and BDW. The following positions will also be added: GS – General Securities Representative (S7) GP – General Securities Principal (S24)	Forms U4, U5, BD & BDW	All

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PT – Proprietary Trader (S56) TP – Proprietary Trader Principal (S56 & S24) FN – Financial and Operations Principal (S27) IE – United Kingdom – Limited General Securities Representative (S17) OP – Registered Options Principal (S4) BM – Branch Office Manager (S9 & S10) CT – Proprietary Compliance Officer (S56 & S14) CO – Compliance Officer (S14) CD – Canada – Limited General Securities Representative with Options (S37)		
Firms now have the ability to create CRD records for individuals (foreign associates) that do not have a Social Security Number (SSN).	NRF	Firms
For NRF filings, firms can now search by billing code to view a list of office address locations associated to that filing firm. Then a user can select the office address location to auto populate the Employment Address fields.	NRF	Firms
Firms now have the ability to amend Non-Registered Fingerprint person (NRF) termination dates. This feature is not applicable to bulk NRF functionality.	NRF	Firms
Firms now have the ability to add OSJ branch supervisors that have an active principal registration request.	Form BR	Firms
An indicator was added to the following sections of the Prehire and Regular View Individual pages for individuals that are currently or have previously been registered with disciplined firms: <ul style="list-style-type: none"> • Registrations Summary • Registrations with Current Employers • Registrations with Prior Employers 	View Individual	All
Firms now have a new Individual – Taping Rule Report that identifies any of their representatives that have previously been registered with a disciplined firm.	Reports	Firms
When viewing an Organization’s information in CRD/IARD, clicking the Organization Snapshot link will open a second window with the firm’s CRD number pre-populated.	Reports	FINRA, States, SROs, SEC
A new BD State Data Download (SDD) report will provide all details from the Form BD for all BD firms that have an approved-equivalent registration status in the requesting jurisdiction.	Reports	States

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The 'Firm Applications Processed' report has been enhanced to allow users to specify any Initial and Final registration status to be included in the report. The new name is 'Firm – Registration Status Change Report'.	Reports	States
Web EFT		
Firms now have the ability to change Office of Employment end dates in the General Information section of Form U4.	Uploads	EFT Subscribers
Firms now have the ability to add OSJ branch supervisors that have an active principal registration request.	Uploads	EFT Subscribers
<p>The following updates will be made to the Individual Information Report (IIR):</p> <ul style="list-style-type: none"> • The Employee Context/Position field (<i>Empcontext</i>) will match the individual's current Registered Representative (RR) and/or Investment Adviser Representative (IAR) status in Web CRD. • A new field (<i>urlRgltyActn</i>) has been added to the Regulatory Action DRP (RegActn-052009Type section) to capture the URL to a state's website containing documents associated with a state initiated disciplinary action. 	Reports	EFT Subscribers
<p>Pending SEC exchange approval, the following SROs will be added to the applicable upload functionality and reports:</p> <ul style="list-style-type: none"> • Investors' Exchange LLC (IEX) • ISE Mercury, LLC (ISE Mercury) 	Uploads & Reports	EFT Subscribers
IARD		
The OMB date of expiration was removed from the instructions page of online Forms ADV, ADV-W, and ADV-E. The OMB number and Burden Hours will continue to display within the instructions.	Forms ADV, ADV-W & ADV-E	Firms
Firms now have the ability to enter individuals on Form ADV that do not have a Social Security Number (SSN).	Form ADV	Firms
The 'IA State – Firm Applications Processed' report has been enhanced to allow users to specify any Initial and Final registration status to be included in the report. The new name is 'IA State – Firm Registration Status Change Report'.	Reports	States
PFRD		
Form PF Question 46(a) will no longer allow decimals.	Form PF	Firms

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The “Commodity Pool Operator” related person label will be updated to “Commodity Pool Operator/Commodity Trading Advisor”.	Form PF	Firms
BrokerCheck		
<p>The BrokerCheck Individual Summary page is redesigned and includes the following changes:</p> <ul style="list-style-type: none"> • The existing page content will be organized into a new layout. • An individual's 'Other Names' will now be displayed on the summary page. Currently they are only displayed in the search results and PDF report. • The summary page will be updated to display up to 2 current registered employments for an individual and up to 2 branch locations for each employment. 	Individual Summary	General Public
Investment Adviser Public Disclosure (IAPD)		
When viewing all pages of Form ADV, the form will be generated as a PDF document instead of a web (HTML) page.	Firm Report	General Public
General		
Web CRD, IARD and PFRD users will now be able to extend their session before it becomes inactive.	All	All
The Account Management and Change Password links were removed from the sitemap(s) and are now displayed in the header section of Web CRD, IARD and PFRD systems.	Site Maps	All
The Recommended Hardware/Software links for Web CRD, IARD and PFRD have been removed from the sitemap(s). Please refer to Firm Gateway for a list of supported Hardware/Software.	Site Maps	All