

SUMMARY	IMPACTED SYSTEM AREA	COMMUNITY
General		
Users will no longer receive the session timeout warning when they are actively working in multiple browser tabs or windows.	All	All
Web CRD		
<p>Effective January 4, 2016 the Equity Trader (ET) and Proprietary Trader (PT) registration categories will be retired and will no longer be available to select on U4 and U5 filings. The associated qualification exams (Series 55 and Series 56) will also be retired. The retired categories will be replaced by the new Securities Trader (TD) category that will require the new Series 57 exam.</p> <p>Additionally, FINRA and NYSE will adopt the Securities Trader Principal (TP) category as the corresponding supervisory registration. Please see the related regulatory notice for additional information.</p>	Qualifications & Exams	FINRA, Firms, SROs
<p>Effective January 4, 2016 the Series 57 will become the qualifying exam for the following NYSE-MKT registration categories:</p> <ul style="list-style-type: none"> • Floor Broker – Options (AF) • Market Maker – Options (AO) 	Qualifications & Exams	FINRA, Firms, SROs
<p>Effective January 4, 2016 the Series 57 will become the qualifying exam for the following NYSE-Arca registration categories:</p> <ul style="list-style-type: none"> • Market Maker Authorized Trader-Options (MM) • Floor Broker (FB) 	Qualifications & Exams	FINRA, Firms, SROs
<p>Effective January 4, 2016 the Proprietary Trader Compliance Officer (CT) registration category will be renamed to Securities Trader Compliance Officer.</p>	Qualifications & Exams	FINRA, Firms, SROs
<p>Effective January 4, 2016 the S501 Continuing Education (CE) session will be retired. Representatives previously required to take the S501 will take the S101 instead.</p>	Qualifications & Exams	FINRA, Firms, SROs
<p>Form U4 will correctly display a completeness check for a gap of more than 3 months in Section 11 Residential History and Section 12 Employment History.</p>	U4	FINRA, Firms
<p>Pending Filing Search pages will allow users to only view filings created by the current user and to sort the list of filings by the column headers.</p>	U4, U5, U6, NRF & BR	FINRA, Firms, SROs, States
<p>The Sensitive Data Notice will be removed from all PDF reports.</p>	Reports	All

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The 'Individual U5 Late Filing Report' will be converted to CSV format.	Reports	FINRA, Firms, States
'Individual – Interim State Data Download' (SDD) reports that are requested on Friday will be available the following day (Saturday).	Reports	States
Regulators will be able to view/edit/add individual Regulatory Notes during the Renewal period.	Non-Filing Information	FINRA, SROs, States, SEC
IARD		
A new Form ADV completeness check will require Exempt Reporting Advisers (ERA) to answer Item 7.B. as "Yes" if any of the boxes in Item 2.B. are checked.	ADV	Firms, SEC
A new Form ADV-W completeness check will verify that a Form PF filing firm has already submitted a Final Form PF prior to allowing the firm to withdraw their SEC registration.	ADV-W	Firms, SEC
BrokerCheck		
The previous 15-day waiting period to view new Form U5 disclosure will be reduced to 3 business days. Please see the related regulatory notice for additional information.	Broker Summary and Report	General Public
On the Broker search results page, users will be able to click anywhere on the search result row to access the summary page.	Broker Search Results	General Public
When performing a Google search for a Broker, the abstract displayed will include additional information to help identify the individual.	Google Search	General Public
IAPD		
The previous 15-day waiting period to view new Form U5 disclosure will be reduced to 3 business days. Please see the related regulatory notice for additional information.	Adviser Representative Summary and Report	General Public
Web EFT		
<p>Applicable upload and reports schemas will be updated to reflect that, effective January 4, 2016, the Equity Trader (ET) and Proprietary Trader (PT) registration categories will be retired and will no longer be available to select on U4 and U5 uploads. The associated qualification exams (Series 55 and Series 56) will also be retired. The retired categories will be replaced by the new Securities Trader (TD) category that will require the new Series 57 exam.</p> <p>Additionally, FINRA and NYSE will adopt the Securities Trader Principal (TP) category as the corresponding supervisory registration. Please see the related regulatory notice for additional information.</p>	Uploads and Reports	EFT Subscribers

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The CRD Form Filing Results schema documentation will be updated to incorporate recent CRD completeness check changes and additions.	Uploads	EFT Subscribers
The descriptions of non-filing events in the Individual Information Report (IIR) will be updated to match the descriptions in CRD.	Reports	EFT Subscribers
The IIR field length specifications will be updated to match the allowed values in the form filing schemas.	Reports	EFT Subscribers
The list of country codes in all applicable reports will be updated to properly capitalize country names.	Reports	EFT Subscribers