

May 31, 2004

Release 1.4

Release 1.4 of NRD will be in production on Monday, May 31, 2004. The release includes a number of enhancements that will benefit system users.

Change Previous Resignation and Termination Disclosure.

A new submission has been developed to facilitate the subsequent filing of changes to Resignation and Termination information for an individual registrant once the individual has either submitted an Initial Individual Registration submission or is currently registered.

Change Current/Previous Employment Information.

The Change Current Employment submission has been modified to include the ability to change Previous Employment information. There is also a new indicator to identify to the user that a specific current or previous employment item has been changed or added within the submission. Change Previous Place and Date of Birth disclosure.

The Change Personal Information submission has been modified to allow a change in the fields for Place and Date of Birth. The system performs a check for individuals that share the same name and Date of Birth. A submission history will document the changes.

Change Previous Proficiency Disclosure.

The Change Proficiency Information submission has been modified to support the update of student numbers without having to provide course/exam information, to correct previously disclosed course/exam information and to correct previously disclosed student numbers. There is also a new indicator to identify to the user that a specific current or previous employment item has been changed or added within the submission.

Change Previous Residential Address Information.

The submission Change Residential Address has been modified to support a change to Previous Residential Address Information. The new functionality also provides an indication to the user that a specific current or previous residential address item has been changed or added in the submission.

Relate Initial Registration to Deficient Initial Registration.

Functionality on the NRD system has been modified to allow AFR's the ability to indicate that any submission is related to a deficient submission created for their firm. The system will check to determine if the new submission is related to the existing submission's subject; if not, the system will display a warning message. The filer may choose to continue or investigate the situation further.