

| SUMMARY   | IMPACTED SYSTEM AREA    | COMMUNITY       |
|---|-------------------------|-----------------|
| <b>Web CRD</b>  |                         |                 |
| The fingerprint requirement will be removed from the Approved Person (AP) registration category for NYSE-MKT and NYSE-ARCA.   | Individual Registration | SROs, Firms     |
| An individual's Filing History will correctly list Form BR filings based on the submission date, not the filing creation date.  | Filing History          | FINRA, Firms    |
| The 'Firm – Registration Status Change Report' will correctly evaluate the dates entered on the Report Parameters page to include data from the last date in the range. | Reports                 | States          |
| <b>Web EFT</b>  |                         |                 |
| The Sunday Delta Individual Information Report (IIR) will no longer contain data. Changes from Saturday and Sunday will be reported in the Monday Delta IIR.            | Reports                 | EFT Subscribers |