



2020 Renewal Program Calendar

October 2019	
Mon., 10/07	FINRA suggests that firms review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD® and that all open branch offices have individuals assigned to them and are accurately reported. Refer to the Web CRD Availability Schedule for weekend and holiday hours of operation as this calendar pertains only to renewal milestones.
Mon., 10/21	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated 12/31/19 .
November 2019	
Fri., 11/01	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated 12/31/19 .
Sat., 11/9	Web CRD and IARD are unavailable as Preliminary Statements are generating.
Mon., 11/11	PRELIMINARY Statements are available through E-Bill .
December 2019	
Mon., 12/16	DEADLINE for receipt of Preliminary Statement payments. Firms with sufficient monies in their Flex-Funding Account will have funds automatically transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day going forward until Web CRD/IARD shuts down for year-end processing December 26.
Thur., 12/26	LAST DAY to submit form filings prior to year-end. Web CRD and IARD are available from 5 a.m. until 6 p.m., Eastern Time (ET).
Fri., 12/27	Web CRD and IARD are unavailable due to Final Statement and renewals processing.
Sat. – Tues. 12/28- 12/31	Web CRD and IARD are available for QUERY-only and the creation of "Pending" filings.
January 2020	
Wed., 01/01	Web CRD and IARD are unavailable due to renewals processing.
Thur., 01/02	Web CRD and IARD are available with complete functionality as of 5 a.m., ET, including submitting form filings and approving registrations. <ul style="list-style-type: none"> • Overpayments are transferred to firms' Flex-Funding Account. Refund requests should be made from this account through E-Bill. • Final Statements are available for viewing and printing through E-Bill.
Fri., 01/17	DEADLINE for receipt of Final Statement payments. Firms with sufficient monies in their Flex-Funding Account will have funds automatically transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day until any outstanding renewal assessment is satisfied.

(As of 7/29/2019)