



## 2009 Renewal Program Calendar

<b>October 2008</b>	
1	FINRA suggests that firms begin to review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD <sup>®</sup> and that all open branch offices have individuals assigned to them and are accurately reported.
27	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal via Web CRD. All post-dated forms <b>must be dated 12/31/08</b> .
<b>November 2008</b>	
3	Firms may begin to submit post-dated BDW and ADV-W via Web CRD and/or IARD <sup>SM</sup> . All post-dated forms <b>must be dated 12/31/08</b> .
4	All Transition Filing functionality for investment advisers will shut down at 11:00 p.m., Eastern Time (ET) and will be unavailable until 01/02/09.
8	Extract for PRELIMINARY Renewal Statement generated from Web CRD/IARD. Web CRD/IARD are unavailable.
10	<b>PRELIMINARY</b> Renewal Statements and reports are available for viewing and printing.
<b>December 2008</b>	
12	<b>DEADLINE</b> for receipt of PRELIMINARY Renewal Statement payments. Renewal payments will be transferred from Daily Account to Renewal Account if complete funds are available.
24	Web CRD/IARD are available from 7:00 a.m. until <b>6:00 p.m., (ET)</b> .
25	Web CRD/IARD are unavailable due to holiday schedule.
26	<b>DEADLINE</b> to submit form filings - <b>2:00 p.m., (ET)</b> , via Web EFT and <b>6:00 p.m., (ET)</b> , via Web CRD/IARD.
27-28	Extract for FINAL Renewal Statement generated. Web CRD/IARD are unavailable.
29-31	Web CRD/IARD available for QUERY-only and the creation of "Pending" filings.
<b>January 2009</b>	
1	Web CRD/IARD are unavailable due to holiday schedule.
2	Web CRD/IARD systems' complete functionality is available as of 7:00 a.m., E.T., including submitting form filings and approving registrations. <ul style="list-style-type: none"> <li>• All 2009 Renewal overpayments transferred to firm's' Daily Account. Refund requests should be made from this account.</li> <li>• <b>FINAL</b> Renewal Statements and reports are available via Web CRD/IARD for viewing and printing.</li> </ul>
<b>February 2009</b>	
4	<b>DEADLINE</b> for receipt of FINAL Renewal Statement payments and reporting <b>renewal discrepancies</b> .