

For Your Information

Filing Due Dates For Web-Based FOCUS, Annual Audits, Customer Complaint Information, And Short Interest Reporting

NASD Regulation, Inc. would like to remind member firms of their obligation to file the appropriate FOCUS reports, Annual Audits, Customer Complaint information, and Short Interest Reporting by their due dates. The following schedule outlines due dates for 2001. Questions regarding the information to be filed can be directed to the appropriate District Office. Business questions as to how to file the FOCUS report, resetting passwords & technical questions concerning system requirements, file uploads, submission problems for Web-Based FOCUS and Customer Complaints can all be directed to (800) 321-NASD. Business questions regarding the 2001 Short Interest Reporting deadlines should be directed to Yvonne Huber at (240) 386-5034 or Jocelyn Rena at (240) 386-5091.

2001 FOCUS Due Dates

Annual Schedule I for 2000 Year End	Due Date
2000 FOCUS Schedule I	January 25, 2001

Annual Schedule I for 2001 Year End	Due Date
2001 FOCUS Schedule I	January 25, 2002

Quarterly FOCUS Part II/IIA for 2000	Due Date
Period Ending December 31, 2000	January 25, 2001

Monthly And Fifth FOCUS II/IIA Filings For 2001

A Fifth FOCUS report is an additional report that is due from a member whose fiscal year end is a date other than the calendar quarter.

Period Ending	Due Date
January 31, 2001	February 26, 2001
February 28, 2001	March 23, 2001
April 30, 2001	May 23, 2001
May 31, 2001	June 25, 2001
July 31, 2001	August 23, 2001
August 31, 2001	September 26, 2001
October 31, 2001	November 26, 2001
November 30, 2001	December 26, 2001

Quarterly FOCUS Part II/IIA Filings For 2001

Quarter Ending	Due Date
March 31, 2001	April 25, 2001
June 30, 2001	July 25, 2001
September 30, 2001	October 23, 2001
December 31, 2001	January 25, 2002

2001 Annual Audit Filings Due Dates

<i>Period End</i>	<i>Due Date</i>
January 31, 2001	April 1, 2001
February 28, 2001	April 29, 2001
March 31, 2001	May 30, 2001
April 30, 2001	June 29, 2001
May 31, 2001	July 30, 2001
June 30, 2001	August 29, 2001
July 31, 2001	September 29, 2001
August 31, 2001	October 30, 2001
September 30, 2001	November 29, 2001
October 31, 2001	December 30, 2001
November 30, 2001	January 29, 2002
December 31, 2001	March 1, 2002

2001 Customer Complaint Due Dates

January 16, 2001 (<i>January 15th is Martin Luther King Day</i>)
April 16, 2001
July 16, 2001
October 15, 2001

Market Regulation Department—2001 Short Interest Reporting Deadlines

Trade Date	Settlement Date	Exchange-Listed Short Interest Due*	Nasdaq Short Interest Due*
Tues. January 9	Fri. January 12	Wed. January 17 1:00 p.m.	Wed. January 17 6:00 p.m.
Mon. February 12	Thurs. February 15	Tues. February 20 1:00 p.m.	Tues. February 20 6:00 p.m.
Mon. March 12	Thurs. March 15	Mon. March 19 1:00 p.m.	Mon. March 19 6:00 p.m.
Mon. April 9	Thurs. April 12	Tues. April 17 1:00 p.m.	Tues. April 17 6:00 p.m.
Thurs. May 10	Tues. May 15	Thurs. May 17 1:00 p.m.	Thurs. May 17 6:00 p.m.
Tues. June 12	Fri. June 15	Tues. June 19 1:00 p.m.	Tues. June 19 6:00 p.m.
Tues. July 10	Fri. July 13	Tues. July 17 1:00 p.m.	Tues. July 17 6:00 p.m.
Fri. August 10	Wed. August 15	Fri. August 17 1:00 p.m.	Fri. August 17 6:00 p.m.
Tues. September 11	Fri. September 14	Tues. September 18 1:00 p.m.	Tues. September 18 6:00 p.m.
Wed. October 10	Mon. October 15	Wed. October 17 1:00 p.m.	Wed. October 17 6:00 p.m.
Mon. November 12	Thurs. November 15	Mon. November 19 1:00 p.m.	Mon. November 19 6:00 p.m.
Tues. December 11	Fri. December 14	Tues. December 18 1:00 p.m.	Tues. December 18 6:00 p.m.

*Eastern Standard Time

Correction To Notice to Members 00-73

On page 571, the second sentence under the subhead *Updated Financial Information* should read: "The updated information shall be prepared as of a date that is within **45 days** before the interview." The online version of this *Notice* has been corrected.

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