

# NASD Notice to Members 98-100

## FOCUS Filing Due Dates For 1999

### Suggested Routing

- Senior Management
- Advertising
- Continuing Education
- Corporate Finance
- Executive Representatives
- Government Securities
- Institutional
- Insurance
- Internal Audit
- Legal & Compliance
- Municipal
- Mutual Fund
- Operations
- Options
- Registered Representatives
- Registration
- Research
- Syndicate
- Systems
- Trading
- Training
- Variable Contracts

NASD Regulation, Inc. (NASD Regulation<sup>SM</sup>) would like to remind members of their obligation to file the appropriate FOCUS reports by their due dates. The following schedule outlines due dates for 1999.

In particular, members are reminded that Schedule I of Form X-17A-5 for the 1998 calendar year must be filed electronically via PC FOCUS<sup>SM</sup> by **Wednesday, January 27, 1999**. This due date applies to members regardless of their fiscal year end. Those firms that engage in municipal securities activities must disclose income from such activity under the NASD Miscellaneous Information section of the Schedule I form as it appears in PC FOCUS.

Anyone having difficulty filing FOCUS reports electronically can refer to Appendix A - Error Messages and Appendix B - Troubleshooting in the *PC FOCUS User Guide* (Version 2.01). In addition, Appendix E - Schedule I Informational Guide contains information on common errors and error resolution for Schedule I specifically.

Questions regarding the information to be filed can be directed to the appropriate District Office. Questions concerning software, hardware, or the transmission of the FOCUS filing can be directed to the NASD toll-free hotline at (800) 321-NASD.

# FOCUS Reports Schedule For 1999

## **Schedule I for 1998 Year End**      **Due Date**

1998 FOCUS Schedule I                      January 27, 1999

## **Quarterly FOCUS Part II/IIA for 1998**

### ***Period Ending***                      ***Due Date***

December 31, 1998                      January 27, 1999

## **Monthly And Fifth\* FOCUS II/IIA Filings for 1999**

### ***Period Ending***                      ***Due Date***

January 31, 1999                      February 24, 1999

February 28, 1999                      March 23, 1999

April 30, 1999                      May 25, 1999

May 31, 1999                      June 23, 1999

July 31, 1999                      August 24, 1999

August 31, 1999                      September 24, 1999

October 31, 1999                      November 23, 1999

November 30, 1999                      December 23, 1999

## **Quarterly FOCUS Part II/IIA Filings For 1999**

### ***Quarter Ending***                      ***Due Date***

March 31, 1999                      April 26, 1999

June 30, 1999                      July 26, 1999

September 30, 1999                      October 25, 1999

December 31, 1999                      January 27, 2000

## **Schedule I for 1999 Year End**      **Due Date**

1999 FOCUS Schedule I                      January 27, 2000

\* 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.

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