

Regulatory Notice

26-01

January 2, 2026

Broker-Dealer and Investment Adviser Renewals for 2026

Final Statements Now Available for Broker-Dealers, Investment Adviser Firms, Agents and Investment Adviser Representatives, and Branches

Summary

FINRA's Renewal Program facilitates the collection and disbursement of fees for broker-dealer (BD) and investment adviser (IA) registrations, exempt reporting, and notice filings with participating self-regulatory organizations (SROs) and jurisdictions.

In November, FINRA issued Preliminary Statements announcing estimated renewal fees. **Final Statements are now available** to confirm or reconcile actual renewal fees owed as of January 1, 2026.

This *Notice* provides guidance on reviewing, reconciling and responding to Final Statements in E-Bill, as well as accessing renewal reports in the Central Registration Depository (CRD) and Investment Adviser Registration Depository (IARD) systems.

Important Deadline: January 23, 2026

Firms must remit payment for any additional amounts owed and report any discrepancies to FINRA by this date.

Additional Resources

For more information, visit:

- ▶ [FINRA's Annual Renewal Program](#) page (for BDs)
- ▶ [IARD Renewal Program](#) page (for IAs)

Questions concerning this *Notice* should be directed to the FINRA Support Center at (301) 869-6699.

Notice Type

- ▶ Renewals

Suggested Routing

- ▶ Compliance
- ▶ Legal
- ▶ Operations
- ▶ Registration
- ▶ Senior Management

Key Topics

- ▶ IARD™
- ▶ Registration
- ▶ Renewals
- ▶ Web CRD®

Final Statements

- ▶ **Availability:** Final Statements are now available in E-Bill for viewing and printing as of January 2, 2026.
- ▶ **What's Included:** Final Statements reflect adjustments based on changes to registrations, reporting statuses or notice filings made after Preliminary Statements were issued.

Refunds and Credits

- ▶ Firms owing **less** than reflected on Preliminary Statements received a credit.
- ▶ Overpayments were transferred to Flex-Funding Accounts on January 2, 2026.
- ▶ Firms with credit balances may request refunds through [E-Bill](#) or retain funds for future transactions.
- ▶ **Note:** Refund processing resumes January 26, 2026.

Additional Fees Due

If your Final Statement shows an amount **greater** than your Preliminary Statement, additional renewal fees are **due by January 23, 2026**.

Renewal Fees and Payment Methods

Final Statements reflect the final status as of December 31, 2025, for all applicable BD and IA renewal fees.

Fee Information:

- ▶ [FINRA's Annual Renewal Program Fees](#)
- ▶ [IARD Renewal Program "What Am I Paying?" section](#)

Payment Options

- ▶ **Recommended:** Pay electronically through E-Bill.
- ▶ **Alternative methods:** Pay by wire transfer or check.

See the [Renewal Program Payment Options](#) page for detailed instructions.

Payment Confirmation

- ▶ Check your Renewal Statement in E-Bill to confirm payment receipt.
- ▶ Set up automated email notifications for payment confirmations.
- ▶ Refer to the [E-Bill User Guide](#) for instructions.

Renewal Reports

Renewal reports are available in CRD/IARD for firms to request, print or download.

- ▶ **What's Included:** All individual registrations renewed for 2026.
- ▶ **What's Excluded:** Registrations that were "pending approval" or "deficient" at year end.

Action Items:

- ▶ Review reports carefully to verify all registration approvals are correct.
- ▶ Retain these reports in your permanent files.

Access the complete list of available reports in the Reports section of the Annual Renewal Program page.

Reporting Discrepancies

If you identify discrepancies on your Final Statement, **report them in writing to FINRA by January 23, 2026.**

Required Materials:

- ▶ letter describing the discrepancies;
- ▶ copy of your Final Statement; and
- ▶ supporting documentation.

Mail to:

FINRA
Registration & Disclosure – Regulatory Services & Operations
9509 Key West Avenue
Rockville, MD 20850

Questions about discrepancies? Call FINRA at (240) 386-4182.

Key Dates

Date	Action
January 2, 2026	Final Statements available in E-Bill
January 23, 2026	Deadline for additional fee payment and discrepancy reporting
January 26, 2026	Refund processing resumes

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