

Regulatory Notice

26-22

October 29, 2026

Notice Type

- ▶ Renewals

Suggested Routing:

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

Key Topics:

- ▶ IARD
- ▶ Registration
- ▶ Renewals
- ▶ Web CRD

Broker-Dealer, Investment Adviser Firm, Agent and Investment Adviser Representative, and Branch Renewals for 2027

Payment Deadline: December 7, 2026

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. The program operates through two key statements:

- ▶ **Preliminary Statement** (November 2026): Outlines initial renewal fees
- ▶ **Final Statement** (January 2027): Confirms or reconciles actual fees due after January 1, 2027

These statements cover all renewal fees for firms, branches and individuals.

Critical Payment Requirement: Full payment by the Preliminary Statement deadline (December 7, 2026) is mandatory. Late payments incur fees and may result in business ineligibility in certain jurisdictions.

Resources:

- ▶ [FINRA's 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) 590-6500.

Key Dates

- ▶ **November 9, 2026:** Preliminary Statements available in E-Bill
- ▶ **December 2, 2026:** Recommended deadline for electronic payments, overnight checks or wire transfers
- ▶ **December 7, 2026:** Preliminary Statement payment deadline
- ▶ **December 27, 2026:** Year-end system shutdown and filing deadline
- ▶ **January 2, 2027:** Final Statements available in E-Bill
- ▶ **January 22, 2027:** Final payment and discrepancy reporting deadline

For complete schedule information, visit the [Annual Renewal Program](#) and [Compliance Calendar](#) pages. Check the [CRD Availability Schedule](#) for system operating hours.

Background & Discussion

Preliminary Statements

Available November 9, 2026, in E-Bill, these statements include all applicable renewal fees for registrations maintained through CRD and IARD. Some jurisdictions may have additional renewal requirements beyond fee payment—contact each jurisdiction directly for specific requirements. A [Regulator Directory](#) is available on the NASAA website.

Post-Dated Form Filings

Firms can submit post-dated termination filings before Preliminary Statements are published to indicate registrations terminating on December 31, 2026. This eliminates fees for registrations not needed in the coming year. **Important:** Post-dated filings cannot be withdrawn once submitted. Erroneous submissions require new forms (U4, BD, BR, or ADV) when CRD/IARD resumes on January 2, 2027, incurring new registration fees.

After submitting termination filings, verify through FINRA Gateway that termination requests are properly reflected in CRD/IARD.

Renewal Reports

Download and save renewal reports when Preliminary Statements become available on November 9, 2026. These reports will be replaced on January 2, 2027, and cannot be recreated. See the [Reports section of the Annual Renewal Program](#) page for a complete list of available reports.

Payment Requirements and Methods

Deadline: December 7, 2026

Consequences of Late Payment:

- ▶ Late fees for FINRA-registered firms (see *Notice to Members (NTM) 02-48*)
- ▶ Potential business ineligibility

Payment Options:

- ▶ E-Bill (recommended)
- ▶ Wire transfer
- ▶ Check

For details, see [Renewal Program Payment Options, Annual Renewal Program Fees](#) and the [What Am I Paying? Section of the IARD Renewal Program](#).

Verify payment receipt by checking your Renewal Account in E-Bill or setting up automated email notifications. See the [E-Bill User Guide](#) for instructions.

Year-End Filing Deadline

December 27, 2026, is the deadline for all electronic form filings in CRD/IARD, Web EFT and FINRA Gateway, including Forms BDW.

Final Statements

Available January 2, 2027, in E-Bill, these statements reflect registration status as of December 31, 2026. Any additional fees from registration changes after the Preliminary Statement will appear here.

Final Deadline: January 22, 2027, for both payment and discrepancy reports

Detailed information about Final Statements will be available in a January 2027 *Regulatory Notice*.