



2011 Renewal Program Calendar

October 2010	
1	FINRA suggests that firms review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD® and that all open branch offices have individuals assigned to them and are accurately reported.
25	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal via Web CRD and/or IARD™. All post-dated forms must be dated 12/31/10 .
November 2010	
1	Firms may begin to submit post-dated Forms BDW, ADV-W. All post-dated forms must be dated 12/31/10 .
5	All Transition Filing functionality for investment advisers is unavailable from 6 p.m., Eastern Time (ET), until 01/03/11.
13	Web CRD/IARD are unavailable as Preliminary Renewal Statements are generating.
15	Preliminary Renewal Statements and reports are available for viewing and printing.
December 2010	
13	DEADLINE for receipt of Preliminary Renewal Statement payments. Renewal payment will be automatically transferred from a firm's Daily Account to its Renewal Account if the total amount due for renewal is available.
23	DEADLINE to submit form filings prior to year-end is 2 p.m., ET, via Web EFT and 6 p.m., ET, via Web CRD/IARD.
24-26	Web CRD/IARD are unavailable due to the holiday schedule.
27	Web CRD/IARD are unavailable as Final Renewal Statements are generating.
28-31	Web CRD/IARD are available for QUERY-only and the creation of "Pending" filings.
January 2011	
1	Web CRD/IARD are unavailable due to holiday and weekend schedule.
3	Web CRD/IARD are available with complete functionality as of 7 a.m., ET, including submitting form filings and approving registrations. - All 2011 renewal overpayments are automatically transferred to firms' Daily Accounts. Refund requests should be made from this account. - Final Renewal Statements and reports are available via Web CRD/IARD for viewing and printing.
February 2011	
4	DEADLINE for receipt of Final Renewal Statement payments and for reporting any renewal discrepancies.