

2014 Renewal Program Checklist

- ☐ Review the [2014 Renewal Program Calendar](#) available on FINRA's [Renewal Program](#) Web page at www.finra.org/renewals for payment and filing deadlines, as well as the Web CRD[®] and IARD[™] system availability during year-end renewal processing.
- ☐ Review registered persons to ensure that they have reported all appropriate information to Web CRD, and that all open branch offices have individuals assigned to them and are accurately reported.
- ☐ Read the October 2014 Renewal Program Bulletin posted to the [Renewal Program](#) Web page for detailed information on how to renew your firm and registered representatives.
- ☐ **Retrieve your firm's Preliminary Renewal Statement from Web CRD and IARD on November 11, 2013.**
Tip: Your preliminary renewal reports are also available and provide detailed information about the fees assessed on the Preliminary Renewal Statement.
- ☐ **Set-up access to FINRA's [E-Bill](#) system, if your firm will be using this electronic billing system to pay its renewal fees.** E-Bill has replaced the CRD/IARD E-Pay system for firms making electronic (ACH) payments. E-Bill allows entitled users to view and pay FINRA invoices, including their Renewal Statement, as well as fund their Flex-Funding Account and transfer funds to their Renewal Account. To use E-Bill, your firm's Super Account Administrator must assign entitlement to E-Bill for themselves and others at the firm. View the [SAA Self-Entitlement Guide](#) for more information.
- ☐ **Pay the total amount due on your firm's Preliminary Renewal Statement by December 13, 2013, the renewal payment deadline.** Firms should submit their electronic (e.g., E-Bill, wire transfer) renewal payments no later than December 10 in order for payment to post to their Renewal Accounts by the deadline. Firms paying by check should account for mail delivery and payment processing time when sending payment. Refer to the [Renewal Program Payment Options](#) Web page for detailed information.
- ☐ **Submit any year-end form filings through Web CRD and IARD no later than 6 p.m., Eastern Time (ET), December 26, 2013.** The deadline is 3 p.m., ET, for Web EFT submissions.
- ☐ **Retrieve your firm's Final Renewal Statement from Web CRD and IARD on January 2, 2014.**
Tip: Your final renewal reports will also be available. You should review the registration statuses of your firm, branches, and registered individuals to ensure registrations with all regulators are accurate. **Keep a copy of these reports for your records.**
- ☐ **Reconcile your Final Renewal Statement.** If you believe there are discrepancies on your Final Renewal Statement, report them, in writing, directly to FINRA. For more information, visit the [Renewal Program](#) Web page.
- ☐ **Pay the full amount owed, if any, on your firm's Final Renewal Statement by January 10, 2014.**