

2003 – 2004 Filing Due Dates

NASD would like to remind members of their obligation to file the appropriate FOCUS reports, Annual Audits, and Customer Complaints by their due dates. The following schedule outlines due dates for 2004. Questions regarding the information to be filed can be directed to the appropriate District Office. Business questions as to how to file the FOCUS report, resetting passwords, and technical questions concerning system requirements, file uploads, and submission problems for Web-Based FOCUS and Customer Complaints can all be directed to (800) 321-NASD. Business questions regarding the Short Interest Reporting deadlines should be directed to Yvonne Huber at (240) 386-5034 or Jocelyn Mello at (240) 386-5091.

2004 FOCUS Due Dates

Annual Schedule I for 2003 Year End	Due Date
2003 FOCUS Schedule I	January 27, 2004
Annual Schedule I for 2004 Year End	Due Date
2004 FOCUS Schedule I	January 26, 2005

2004 Monthly and Fifth* FOCUS II/IIA Filings

* 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.

January 31, 2004	February 25, 2004
February 29, 2004	March 23, 2004
April 30, 2004	May 25, 2004
May 31, 2004	June 23, 2004
July 31, 2004	August 24, 2004
August 31, 2004	September 24, 2004
October 31, 2004	November 23, 2004
November 30, 2004	December 23, 2004

2004 Quarterly FOCUS Part II/IIA Filings

Quarter Ending	Due Date
December 31, 2003	January 27, 2004
March 31, 2004	April 26, 2004
June 30, 2004	July 26, 2004
September 30, 2004	October 25, 2004
December 31, 2004	January 26, 2005

2004 Annual Audit Filings Due Dates

Period End	Due Date
December 31, 2003	February 29, 2004
January 31, 2004	March 31, 2004
February 29, 2004	April 29, 2004
March 31, 2004	June 1, 2004
April 30, 2004	June 29, 2004
May 31, 2004	July 30, 2004
June 30, 2004	August 30, 2004
July 31, 2004	September 29, 2004
August 31, 2004	November 1, 2004
September 30, 2004	November 29, 2004
October 31, 2004	December 30, 2004
November 30, 2004	January 31, 2005
December 31, 2004	March 1, 2005

2004 3070/Customer Complaints Due Dates

4th quarter 2003:	January 15, 2004
1st quarter 2004:	April 15, 2004
2nd quarter 2004:	July 15, 2004
3rd quarter 2004:	October 15, 2004
4th quarter 2004:	January 17, 2005

Market Regulation Department 2004 Short Interest Reporting Deadlines

Trade Date	Settlement Date	Exchange-Listed Short Interest Due*	NASDAQ Short Interest Due*
January 12 Monday	January 15 Thursday	January 20 1:00 p.m., Tuesday	January 20 6:00 p.m., Tuesday
February 10 Tuesday	February 13 Friday	February 18 1:00 p.m., Wednesday	February 18 6:00 p.m., Wednesday
March 10 Wednesday	March 15 Monday	March 17 1:00 p.m., Wednesday	March 17 6:00 p.m., Wednesday
April 12 Monday	April 15 Thursday	April 19 1:00 p.m., Monday	April 19 6:00 p.m., Monday
May 11 Tuesday	May 14 Friday	May 18 1:00 p.m., Tuesday	May 18 6:00 p.m., Tuesday
June 10 Thursday	June 15 Tuesday	June 17 1:00 p.m., Thursday	June 17 6:00 p.m., Thursday
July 12 Monday	July 15 Thursday	July 19 1:00 p.m., Monday	July 19 6:00 p.m., Monday
August 10 Tuesday	August 13 Friday	August 17 1:00 p.m., Tuesday	August 17 6:00 p.m., Tuesday
September 10 Friday	September 15 Wednesday	September 17 1:00 p.m., Friday	September 17 6:00 p.m., Friday
October 12 Tuesday	October 15 Friday	October 19 1:00 p.m., Tuesday	October 19 6:00 p.m., Tuesday
November 9 Tuesday	November 15 Monday	November 17 1:00 p.m., Wednesday	November 17 6:00 p.m., Wednesday
December 10 Friday	December 15 Wednesday	December 17 1:00 p.m., Friday	December 17 6:00 p.m., Friday

* Eastern Standard Time