
For Your Information

Important Information Regarding Annual Audited Report

Under Securities and Exchange Commission (SEC) Rule 17a-5, NASD members must file with NASD an Annual Audited Report not more than 60-calendar days after the date selected for their fiscal year end.

For the convenience of member firms, NASD has posted information to the Regulation section of the NASD Web Site listing essential information needed to complete the Annual Audited Reports.

Please ensure that your auditors receive this information. We consistently find that audit filings are mailed to incorrect locations and departments, which often results in filings not reaching NASD in a timely fashion or not reaching NASD at all. In that regard, please note Notice to Members 01-54 regarding late fees which will be imposed for filing lateness.

Please visit this Web page for more information:
http://www.nasdr.com/laa_index.asp.