

For Your Information

Filing Due Dates For Web-Based FOCUS, Annual Audits, Customer Complaint Information, And Short Interest Reporting

NASD Regulation, Inc. reminds member firms of their obligation to file the appropriate Web-Based FOCUS reports, Annual Audits, Customer Complaint information, and Short Interest Reporting by the specified due dates. The following schedules outline due dates for 2002. Questions regarding the information to be filed can be directed to the appropriate District Office. Business questions as to how to file reports, resetting passwords, and technical questions concerning system requirements, file uploads, 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 Rena at (240) 386-5091.

Web-Base FOCUS Due Dates

Monthly And Fifth FOCUS

<i>Period Ending</i>	<i>Due Date</i>
January 31, 2002	February 26, 2002
February 28, 2002	March 25, 2002
April 30, 2002	May 23, 2002
May 31, 2002	June 25, 2002
July 31, 2002	August 23, 2002
August 31, 2002	September 25, 2002
October 31, 2002	November 25, 2002
November 30, 2002	December 24, 2002

Quarterly FOCUS Part III/A

<i>Quarter Ending</i>	<i>Due Date</i>
December 31, 2001	January 25, 2002
March 31, 2002	April 23, 2002
June 30, 2002	July 24, 2002
September 30, 2002	October 23, 2002
December 31, 2002	January 27, 2003

Annual Schedule I Due Date

2001 Annual FOCUS Schedule I	January 25, 2002
2002 Annual FOCUS Schedule I	January 27, 2003

2002 Annual Audit Filings Due Dates

<i>Period End</i>	<i>Due Date</i>
January 31, 2002	April 1, 2002
February 28, 2002	April 29, 2002
March 31, 2002	May 30, 2002
April 30, 2002	June 29, 2002
May 31, 2002	July 30, 2002
June 30, 2002	August 29, 2002
July 31, 2002	September 29, 2002
August 31, 2002	October 30, 2002
September 30, 2002	November 29, 2002
October 31, 2002	December 30, 2002
November 30, 2002	January 29, 2003
December 31, 2002	March 1, 2003

2002 Customer Complaints/3070 Due Dates

4th quarter 2001:	1/15/02 (Tuesday)
1st quarter 2002:	4/15/02 (Monday)
2nd quarter 2002:	7/15/02 (Monday)
3rd quarter 2002:	10/15/02 (Tuesday)
4th quarter 2002:	1/15/03 (Wednesday)

2002 Short Interest Reporting Deadlines

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

****Eastern Standard Time***