

### 2004 – 2005 Filing Due Dates

NASD would like to remind members of their obligation to file the appropriate FOCUS reports, Annual Audits, Customer Complaints, and Short Interest Reports by their due dates. The following schedule outlines due dates for 2005. 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 & 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 Mello at (240) 386-5091.

### 2005 FOCUS Due Dates

Annual Schedule I for 2004 Year End	<b>Due Date</b>
2004 FOCUS Schedule	January 26, 2005
Annual Schedule I for 2005 Year End	<b>Due Date</b>
2005 FOCUS Schedule	January 25, 2006

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## 2005 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, 2005	February 24, 2005
February 28, 2005	March 23, 2005
April 30, 2005	May 24, 2005
May 31, 2005	June 23, 2005
July 31, 2005	August 23, 2005
August 31, 2005	September 26, 2005
October 31, 2005	November 23, 2005
November 30, 2005	December 23, 2005

## 2005 Quarterly FOCUS Part II/IIA Filings

Quarter Ending	Due Date
December 31, 2004	January 26, 2005
March 31, 2005	April 25, 2005
June 30, 2005	July 26, 2005
September 30, 2005	October 25, 2005
December 31, 2005	January 25, 2006

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## 2005 Annual Audit Filings Due Dates

Period End	Due Date
January 31, 2005	April 1, 2005
February 28, 2005	April 29, 2005
March 31, 2005	May 31, 2005
April 30, 2005	June 29, 2005
May 31, 2005	August 1, 2005
June 30, 2005	August 29, 2005
July 31, 2005	September 29, 2005
August 31, 2005	October 31, 2005
September 30, 2005	November 29, 2005
October 31, 2005	December 30, 2005
November 30, 2005	January 30, 2006
December 31, 2005	March 1, 2006

## 2005 3070/Customer Complaints Due Dates

4th quarter 2004:	January 18, 2005
1st quarter 2005:	April 15, 2005
2nd quarter 2005:	July 15, 2005
3rd quarter 2005:	October 17, 2005
4th quarter 2005:	January 17, 2006

## Market Regulation Department 2005 Short Interest Reporting Deadlines

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

\* Trade Date is provided for reference purposes only. Positions are to be reported as of settlement date.

\*\* Eastern Standard Time