

2005 – 2006 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 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.

2006 FOCUS Due Dates

Annual Schedule I for 2005 Year End	Due Date
2005 FOCUS Schedule I	January 25, 2006
 Annual Schedule I for 2006 Year End	 Due Date
2006 FOCUS Schedule I	January 25, 2007

2006 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, 2006	February 24, 2006
February 28, 2006	March 23, 2006
April 30, 2006	May 23, 2006
May 31, 2006	June 23, 2006
July 31, 2006	August 23, 2006
August 31, 2006	September 26, 2006
October 31, 2006	November 24, 2006
November 30, 2006	December 26, 2006

2006 Quarterly FOCUS Part II/IIA Filings

Quarter Ending	Due Date
December 31, 2005	January 26, 2006
March 31, 2006	April 26, 2006
June 30, 2006	July 26, 2006
September 30, 2006	October 24, 2006
December 31, 2006	January 25, 2007

2006 Annual Audit Filings Due Dates

Period End	Due Date
January 31, 2006	April 3, 2006
February 28, 2006	May 1, 2006
March 31, 2006	May 30, 2006
April 30, 2006	June 29, 2006
May 31, 2006	July 31, 2006
June 30, 2006	August 29, 2006
July 31, 2006	September 29, 2006
August 31, 2006	October 30, 2006
September 30, 2006	November 29, 2006
October 31, 2006	January 2, 2007
November 30, 2006	January 30, 2007
December 31, 2006	March 1, 2007

2006 3070/Customer Complaints Due Dates

4th quarter 2005:	January 17, 2006
1st quarter 2006:	April 17, 2006
2nd quarter 2006:	July 17, 2006
3rd quarter 2006:	October 16, 2006
4th quarter 2006:	January 16, 2007

Market Regulation Department 2006 Short Interest Reporting Deadlines

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

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

** Eastern Standard Time