

2006 – 2007 Filing Due Dates

NASD would like to remind members of their obligation to file the appropriate FOCUS reports, Schedule I filings, Annual Audits, Customer Complaints and Short Interest reports by their due dates. The following schedule outlines due dates for 2006 reports that have 2007 due dates, and for 2007 reports.

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, 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.

Schedule I Filings

Report Date	Due Date
December 31, 2006	January 26, 2007*
December 31, 2007	January 25, 2008

The Schedule I report is required pursuant to SEC Rule 17a-10. Schedule I reports are filed electronically and are due at midnight, Eastern Time (ET) on the due dates noted.

* This date was moved forward by one day due to the National Day of Mourning for President Ford.

2007 Monthly and Fifth FOCUS II/IIA Filings

Report Date	Due Date
January 31, 2007	February 26, 2007
February 28, 2007	March 23, 2007
April 30, 2007	May 23, 2007
May 31, 2007	June 25, 2007
July 31, 2007	August 23, 2007
August 31, 2007	September 26, 2007
October 31, 2007	November 26, 2007
November 30, 2007	December 26, 2007

A "fifth" FOCUS report is required by SEC Rule 17a-5(a)(2)(iii) for quarterly FOCUS report filers that have a fiscal year end other than a quarter end. Such report is due within 17 business days after the firm's fiscal year end.

2006 - 2007 Quarterly FOCUS Part II/IIA Filings

Report Date	Due Date
December 31, 2006	January 26, 2007*
March 31, 2007	April 25, 2007
June 30, 2007	July 25, 2007
September 30, 2007	October 23, 2007
December 31, 2007	January 25, 2008

FOCUS reports (monthly, quarterly and fifth) are filed electronically and are due at midnight, ET on the due dates noted.

* This date was moved forward by one day due to the National Day of Mourning for President Ford.

2007 Fiscal Year End Annual Audit Filings Due Dates

Report Date	Due Date
January 31, 2007	April 2, 2007
February 28, 2007	April 30, 2007
March 31, 2007	May 30, 2007
April 30, 2007	June 29, 2007
May 31, 2007	July 30, 2007
June 30, 2007	August 29, 2007
July 31, 2007	October 1, 2007
August 31, 2007	October 30, 2007
September 30, 2007	November 29, 2007
October 31, 2007	December 31, 2007
November 30, 2007	January 29, 2008
December 31, 2007	February 29, 2008

Annual Audits are filed in hard copy and must be received by close of business on the dates noted. Annual Audits are due, pursuant to SEC Rule 17a-5(d)(5) no later than 60 calendar days after fiscal year end. Firms that do not use a fiscal year end date coinciding with a month end date should not rely on this schedule in determining due dates.

2006 - 2007 3070/Customer Complaints Due Dates

Report Date	Due Date
4th quarter 2006:	January 16, 2007
1st quarter 2007:	April 16, 2007
2nd quarter 2007:	July 16, 2007
3rd quarter 2007:	October 15, 2007
4th quarter 2007:	January 15, 2008

Market Regulation Department 2007 Short Interest Reporting Deadlines

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

REPORTS MUST BE FILED BY THE TIMES NOTED, EASTERN TIME.