

Information Notice

PLEASE NOTE: The FINRA rulebook currently consists of both NASD Rules and certain NYSE Rules that FINRA has incorporated. The incorporated NYSE Rules apply solely to members of FINRA that are also members of NYSE on or after July 30, 2007, referred to as “Dual Members.” Dual Members also must comply with NASD Rules. Until the adoption of a consolidated rulebook, FINRA’s *Notices* will address both NASD and the incorporated NYSE Rules.

2007–2008 Filing Due Dates

Executive Summary

Member firms are reminded of their obligation to file, and the due dates for, FOCUS reports, Schedule I filings, Annual Audits, Customer Complaints and Short Interest reports. The schedules in this *Notice* outline the due dates for year-end 2007 reports and for 2008 reports.

The due dates for FOCUS reports, Schedule I filings, Customer Complaints and Short Interest reports are also combined and listed in chronological order in Attachment A.

- For firms filing through **WebFOCUS**:
 - Questions regarding the information to be filed should be directed to your firm’s Liaison.
 - Technical questions, including how to file a FOCUS report, resetting passwords and system requirements, file uploads, submission problems for Web-based FOCUS and Customer Complaints should be directed to FINRA’s Call Center at (800) 321-6273.
- For firms filing through **eFOCUS**:
 - Questions regarding the information to be filed should be directed to your firm’s Finance Coordinator.
 - Technical questions, including how to file a FOCUS report, resetting passwords and system requirements, file uploads, submission problems for eFOCUS and Customer Complaints should be directed to the SIAC Service Center at (212) 383-2062.
- Questions regarding Short Interest reporting deadlines should be directed to Yvonne Huber at (240) 386-5034 or Michele Bowan at (240) 386-4986.

December 20, 2007

Suggested Routing

- Compliance

Key Topics

- Annual Audits
- Customer Complaints
- FOCUS reports
- Schedule I filings
- Short Interest reports

Schedule I Filings

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

Report Date	Due Date
December 31, 2007	January 25, 2008
December 31, 2008	January 27, 2009

2008 Monthly and Fifth FOCUS II/IIA Filings

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.

Period Ending	Due Date
January 31, 2008	February 26, 2008
February 29, 2008	March 26, 2008
April 30, 2008	May 23, 2008
May 31, 2008	June 24, 2008
July 31, 2008	August 25, 2008
August 31, 2008	September 24, 2008
October 31, 2008	November 25, 2008
November 30, 2008	December 23, 2008

2007 – 2008 Quarterly FOCUS Part II/IIA Filings

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

Quarter Ending	Due Date
December 31, 2007	January 25, 2008
March 31, 2008	April 23, 2008
June 30, 2008	July 24, 2008
September 30, 2008	October 23, 2008
December 31, 2008	January 27, 2009

2008 Fiscal Year-End Annual Audit Filings Due Dates

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) and NYSE Rule 418, 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.

Period Ending	Due Date
January 31, 2008	March 31, 2008
February 29, 2008	April 29, 2008
March 31, 2008	May 30, 2008
April 30, 2008	June 30, 2008
May 31, 2008	July 30, 2008
June 30, 2008	August 29, 2008
July 31, 2008	September 29, 2008
August 31, 2008	October 30, 2008
September 30, 2008	December 1, 2008
October 31, 2008	December 30, 2008
November 30, 2008	January 29, 2009
December 31, 2008	March 2, 2009

2007 – 2008 NASD Rule 3070 and NYSE Rule 351 Customer Complaints Due Dates

Report Date	Due Date
4th quarter 2007	January 15, 2008
1st quarter 2008	April 15, 2008
2nd quarter 2008	July 15, 2008
3rd quarter 2008	October 15, 2008
4th quarter 2008	January 15, 2009

2008 Short Interest Reporting Deadlines

Short Interest reports, required pursuant to NASD Rule 3360 and NYSE Rule 421, are filed electronically and due by the dates and times listed below (all times are Eastern Time).

	Trade Date	Settlement Date	Exchange-Listed Short Interest Due	NASDAQ/OTC Equities Short Interest Due
January	1/10/08 1/28/08	1/15/08 1/31/08	1/17/08 – 1 p.m. 2/04/08 – 1 p.m.	1/17/08 – 6 p.m. 2/04/08 – 6 p.m.
February	2/12/08 2/26/08	2/15/08 2/29/08	2/20/08 – 1 p.m. 3/04/08 – 1 p.m.	2/20/08 – 6 p.m. 3/04/08 – 6 p.m.
March	3/11/08 3/26/08	3/14/08 3/31/08	3/18/08 – 1 p.m. 4/02/08 – 1 p.m.	3/18/08 – 6 p.m. 4/02/08 – 6 p.m.
April	4/10/08 4/25/08	4/15/08 4/30/08	4/17/08 – 1 p.m. 5/02/08 – 1 p.m.	4/17/08 – 6 p.m. 5/02/08 – 6 p.m.
May	5/12/08 5/27/08	5/15/08 5/30/08	5/19/08 – 1 p.m. 6/03/08 – 1 p.m.	5/19/08 – 6 p.m. 6/03/08 – 6 p.m.
June	6/10/08 6/25/08	6/13/08 6/30/08	6/17/08 – 1 p.m. 7/02/08 – 1 p.m.	6/17/08 – 6 p.m. 7/02/08 – 6 p.m.
July	7/10/08 7/28/08	7/15/08 7/31/08	7/17/08 – 1 p.m. 8/04/08 – 1 p.m.	7/17/08 – 6 p.m. 8/04/08 – 6 p.m.
August	8/12/08 8/26/08	8/15/08 8/29/08	8/19/08 – 1 p.m. 9/03/08 – 1 p.m.	8/19/08 – 6 p.m. 9/03/08 – 6 p.m.
September	9/10/08 9/25/08	9/15/08 9/30/08	9/17/08 – 1 p.m. 10/02/08 – 1 p.m.	9/17/08 – 6 p.m. 10/02/08 – 6 p.m.
October	10/09/08 10/28/08	10/15/08 10/31/08	10/17/08 – 1 p.m. 11/04/08 – 1 p.m.	10/17/08 – 6 p.m. 11/04/08 – 6 p.m.
November	11/10/08 11/24/08	11/14/08 11/28/08	11/18/08 – 1 p.m. 12/02/08 – 1 p.m.	11/18/08 – 6 p.m. 12/02/08 – 6 p.m.
December	12/10/08 12/26/08	12/15/08 12/31/08	12/17/08 – 1 p.m. 1/05/09 – 1 p.m.	12/17/08 – 6 p.m. 1/05/09 – 6 p.m.

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Attachment A

2008 Filing Due Dates: Calendar View¹

Date	Filing
January 15, 2008	NASD Rule 3070 and NYSE Rule 351 Customer Complaints for 4th quarter 2007
January 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 1/10/08 trade and 1/15/08 settlement dates
January 25, 2008 Midnight (ET)	Schedule I Filings for 12/31/07 Report Date
January 25, 2008 Midnight (ET)	Quarterly FOCUS Part II/IIA Filings for quarter ending December 31, 2007
February 4, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 1/28/08 trade and 1/31/08 settlement dates
February 20, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 2/12/08 trade and 1/2/15/08 settlement dates
February 26, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending January 31, 2008
March 4, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) due for 2/26/08 trade and 2/29/08 settlement dates
March 18, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 1/28/08 trade and 1/31/08 settlement dates
March 26, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending February 29, 2008
April 2, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 3/26/08 trade and 3/31/08 settlement dates
April 15, 2008	NASD Rule 3070 and NYSE Rule 351 Customer Complaints for 1st quarter 2008
April 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 4/10/08 trade and 4/15/08 settlement dates
April 23, 2008 Midnight (ET)	Quarterly FOCUS Filings for quarter ending March 31, 2008
May 2, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 4/25/08 trade and 4/30/08 settlement dates

May 19, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 5/12/08 trade and 5/15/08 settlement dates
May 23, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending April 30, 2008
June 3, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 5/27/08 trade and 5/30/08 settlement dates
June 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 6/10/08 trade and 6/13/08 settlement dates
June 24, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending for Mary 31, 2008
July 2, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 6/25/08 trade and 6/30/08 settlement dates
July 15, 2008	NASD Rule 3070 and NYSE Rule 351 Customer Complaints for 2nd quarter 2008
July 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 7/10/08 trade and 7/15/08 settlement dates
July 24, 2008 Midnight (ET)	Quarterly FOCUS Filings for quarter ending June 30, 2008
August 4, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 7/28/08 trade and 7/31/08 settlement dates
August 19, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 8/12/08 trade and 8/15/08 settlement dates
August 25, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending July 31, 2008
September 3, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 8/26/08 trade and 8/29/08 settlement dates
September 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 9/10/08 trade and 9/15/08 settlement dates
September 24, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending August 31, 2008

October 2, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 9/25/08 trade and 9/30/08 settlement dates
October 15, 2008	NASD Rule 3070 and NYSE Rule 351 Customer Complaints for 3rd quarter 2008
October 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 10/9/08 trade and 10/15/08 settlement dates
October 23, 2008 Midnight (ET)	Quarterly FOCUS Filings for quarter ending September 30, 2008
November 4, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 10/28/08 trade and 10/31/08 settlement dates
November 18, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 11/10/08 trade and 11/14/08 settlement dates
November 25, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending October 31, 2008
December 2, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 11/24/08 trade and 11/28/08 settlement dates
December 17, 2008	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 12/10/08 trade and 12/15/08 settlement dates
December 23, 2008 Midnight (ET)	Monthly FOCUS Filing for period ending November 30, 2008
January 5, 2009	Exchange-Listed Short Interest due at 1 p.m. (ET) and NASDAQ/OTC Equities Short Interest due at 6 p.m. (ET) for 12/26/08 trade and 12/31/08 settlement dates
January 15, 2009	NASD Rule 3070 and NYSE Rule 351 Customer Complaints for 4th quarter 2008
January 27, 2009 Midnight (ET)	Schedule I Filings for 12/31/08 Report Date
January 27, 2009 Midnight (ET)	Quarterly FOCUS Filings for quarter ending December 31, 2008

1 This calendar does not include Annual Audits, which must be filed in hard copy and received by close of business 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.