

## 2020 Renewal Program Calendar

<b>October 2019</b>	
Mon., 10/07	FINRA suggests that firms review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD <sup>®</sup> and IARD <sup>™</sup> and that all open branch offices have individuals assigned to them and are accurately reported. Refer to the <a href="#">Web CRD Availability Schedule</a> for weekend and holiday hours of operation as this calendar pertains only to renewal milestones.
Mon., 10/21	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated <b>12/31/19</b> .
<b>November 2019</b>	
Fri., 11/01	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated <b>12/31/19</b> .
Sat., 11/9	IARD and Web CRD are unavailable as Preliminary Statements are generating.
Mon., 11/11	<b>PRELIMINARY</b> Statements are available through <a href="#">E-Bill</a> .
<b>December 2019</b>	
Mon., 12/16	<b>DEADLINE</b> for receipt of Preliminary Statement payments. Firms with sufficient monies in their Flex-Funding Account will have funds automatically transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day going forward until IARD/Web CRD shuts down for year-end processing December 26.
Thur., 12/26	<b>LAST DAY to submit form filings prior to year-end.</b> IARD and Web CRD are available from 5 a.m. until 6 p.m., Eastern Time (ET).
Fri., 12/27	IARD and Web CRD are unavailable due to Final Statement and renewals processing.
Sat. – Tues. 12/28- 12/31	IARD and Web CRD are available for QUERY-only and the creation of "Pending" filings.
<b>January 2020</b>	
Wed., 01/01	IARD and Web CRD are unavailable due to renewals processing.
Thur., 01/02	IARD and Web CRD are available with complete functionality as of 5 a.m., ET, including submitting form filings and approving registrations. <ul style="list-style-type: none"> <li>• Overpayments are transferred to firms' Flex-Funding Account. Refund requests should be made from this account through <a href="#">E-Bill</a>.</li> <li>• Final Statements are available for viewing and printing through <a href="#">E-Bill</a>.</li> </ul>
Fri., 01/17	<b>DEADLINE</b> for receipt of Final Statement payments. Firms with sufficient monies in their Flex-Funding Account will have funds automatically transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day until any outstanding renewal assessment is satisfied.