



2010 Renewal Program Calendar

October 2009	
1	FINRA suggests that firms review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD [®] and that all open branch offices have individuals assigned to them and are accurately reported.
November 2009	
4	All Transition Filing functionality for investment advisers is unavailable from 11 p.m., Eastern Time (ET) until 01/04/10. Firms may begin to submit post-dated Forms U5, BDW, ADV-W and BR Closing/Withdrawal via Web CRD and/or IARD [™] . All post-dated forms must be dated 12/31/09 .
14	Web CRD/IARD are unavailable as Preliminary Renewal Statements are generating.
16	Preliminary Renewal Statements and reports are available for viewing and printing.
December 2009	
11	DEADLINE for receipt of Preliminary Renewal Statement payments. Renewal payment will be automatically transferred from a firm's daily account to its renewal account if complete funds are available.
24	DEADLINE to submit form filings via Web EFT is 11 a.m., ET , or via Web CRD/IARD is 1 p.m., ET . Web CRD/IARD are available from 7 a.m. - 1 p.m., ET .
25	Web CRD/IARD are unavailable due to the holiday schedule.
26-27	Web CRD/IARD are unavailable as Final Renewal Statements are generating.
28-31	Web CRD/IARD are available for QUERY-only and the creation of "Pending" filings.
January 2010	
1-3	Web CRD/IARD are unavailable due to the holiday and weekend schedule.
4	Web CRD/IARD are available with complete functionality as of 7 a.m., ET, including submitting form filings and approving registrations. <ul style="list-style-type: none"> • All 2010 renewal overpayments are automatically transferred to firms' daily accounts. Refund requests should be made from this account. • Final Renewal Statements and reports are available via Web CRD/IARD for viewing and printing.
February 2010	
5	DEADLINE for receipt of Final Renewal Statement payments and for reporting any renewal discrepancies .