



2016 Renewal Program Calendar

October 2015	
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.
26	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated 12/31/15 .
November 2015	
2	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated 12/31/15 .
14	Web CRD and IARD are unavailable as Preliminary Renewal Statements are generating.
16	PRELIMINARY Renewal Statements and reports are available for viewing and printing.
December 2015	
11	Automatic Transfers: Firms with sufficient monies in their Flex-Funding Accounts will have funds transferred to their Renewal Accounts to cover total renewal fees owed. Transfers will be conducted every day until Web CRD/IARD shuts down for year-end processing.
18	DEADLINE for receipt of Preliminary Renewal Statement payments.
28	LAST DAY to submit form filings prior to year-end. Web CRD and IARD are available from 5 a.m. until 6 p.m., Eastern Time (ET).
29	Web CRD and IARD are unavailable due to Final Renewal Statement and renewals processing.
30-31	Web CRD and IARD are available for QUERY-only and the creation of "Pending" filings.
January 2016	
1	Web CRD and IARD are unavailable due to the holiday schedule.
2	Web CRD and IARD are unavailable due to year-end processing.
4	Web CRD and IARD are available with complete functionality as of 5 a.m., ET, including submitting form filings and approving registrations. <ul style="list-style-type: none"> • Overpayments are transferred to firms' Flex-Funding Accounts. Refund requests should be made from this account. • Final Renewal Statements and reports are available for viewing and printing.
11	Automatic Transfers: Firms with sufficient monies in their Flex-Funding Accounts will have funds transferred to their Renewal Accounts to cover total renewal fees owed. Transfers will be conducted every day until any outstanding renewal assessment is satisfied.
15	DEADLINE for receipt of Final Renewal Statement payments.

(As of 8/17/2015)