

2015 Renewal Program Calendar

October 2014	
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.
27	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated 12/31/14 .
November 2014	
1	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated 12/31/14 .
8	Web CRD and IARD are unavailable as Preliminary Renewal Statements are generating.
10	PRELIMINARY Renewal Statements and reports are available for viewing and printing.
December 2014	
12	DEADLINE for receipt of Preliminary Renewal Statement payments.
15	Automatic Transfers: Firms with sufficient monies in their Flex-Funding Account will have funds transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day until Web CRD/IARD shuts down for year-end processing.
27	<p>LAST DAY to submit form filings prior to year-end. Web CRD and IARD are available from 8 a.m. until 6 p.m., Eastern Time (ET).</p> <p>NOTE: FINRA will be closed on Saturday, December 27 and FINRA staff support is unavailable. Therefore, Forms U4 and BD filing/deficiencies (e.g., Disclosure Review) will not be manually reviewed by staff until full system functionality resumes on January 2, 2015.</p>
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 2015	
1	Web CRD and IARD are unavailable due to the holiday schedule.
2	<p>Web CRD and IARD are available with complete functionality as of 5 a.m., ET, including submitting form filings and approving registrations.</p> <ul style="list-style-type: none"> Overpayments are transferred to firms' Flex-Funding Account. Refund requests should be made from this account. Final Renewal Statements and reports are available for viewing and printing.
16	DEADLINE for receipt of Final Renewal Statement payments.
20	Automatic Transfers: Firms with sufficient monies in their Flex-Funding Account will have funds transferred to their Renewal Account to cover total renewal fees owed. Transfers will be conducted every day until any outstanding renewal assessment is satisfied.