

## 2012 IARD Renewal Program Calendar

<b>October 2011</b>	
3	Firms should review their registered persons to ensure that they have properly and timely reported all appropriate information to IARD™ and Web CRD® and that all open branch offices have individuals assigned to them and are accurately reported.
24	Firms may begin to submit Forms U5 and BR Closing/Withdrawal via IARD and/or Web CRD. All post-dated forms must be dated <b>12/31/11</b> .
<b>November 2011</b>	
1	Firms may begin to submit post-dated Forms ADV-W. All forms must be post-dated <b>12/31/11</b> .
4	All Transition Filing functionality for investment advisers is unavailable <b>from 8 p.m.</b> , Eastern Time (ET), until 01/03/12. Web EFT will be available until 7 p.m., ET.
12	IARD and Web CRD are unavailable as Preliminary Renewal Statements are generating.
14	Preliminary Renewal Statements and reports are available for viewing and printing.
<b>December 2011</b>	
12	<b>DEADLINE</b> for receipt of Preliminary Renewal Statement payments. Renewal payment will be automatically transferred from a firm's Daily Account to its Renewal Account if the total amount due for renewal is available.
23	<b>DEADLINE to submit form filings prior to year-end is 4 p.m., ET, via Web EFT and 6 p.m., ET, via IARD and Web CRD.</b> Web CRD/IARD are available from 7 a.m. until 6 p.m., ET.
26	IARD and Web CRD are unavailable due to the holiday schedule.
27	IARD and Web CRD are unavailable as Final Renewal Statements are generating.
28-30	IARD and Web CRD are available for QUERY-only and the creation of "Pending" filings.
31	IARD and Web CRD are unavailable due to the holiday schedule.
<b>January 2012</b>	
2	IARD and Web CRD are unavailable due to the holiday.
3	IARD and Web CRD are available with complete functionality as of 7 a.m., ET, including submitting form filings and approving registrations. <ul style="list-style-type: none"> <li>• All 2012 renewal overpayments are automatically transferred to firms' Daily Accounts. Refund requests should be made from this account.</li> <li>• Final Renewal Statements and reports are available via IARD and Web CRD for viewing and printing.</li> </ul>
<b>February 2012</b>	
3	<b>DEADLINE</b> for receipt of Final Renewal Statement payments and for reporting any renewal discrepancies.