

2010 IARD Renewal Program Checklist

- Read the IARD™ Renewal Program Bulletin at www.iard.com/renewals.asp for complete and detailed information on how to renew your IA firm and representatives.
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- Review the 2010 IARD Renewal Program Calendar at www.iard.com/renewals.asp for payment and filing deadlines, as well as the IARD/Web CRD® system availability during the holidays and year-end renewal processing.
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- Retrieve your firm's Preliminary Renewal Statement from IARD available beginning November 16, 2009. Hardcopy statements are not mailed to firms.

TIP: Your preliminary firm renewal report will also be available beginning November 16. This report is sorted by regulator and lists all of your firm's IA representatives with approved registration statuses in Web CRD. Firms may use the report to verify the number of IA representatives and their approved registration statuses for which the firm is being assessed 2010 renewal fees.

- Pay the total amount due on your firm's Preliminary Renewal Statement. December 11, 2009, is the deadline for receipt of Preliminary Renewal Statement payments. Firms should submit their electronic (*i.e.*, E-Pay, wire transfer) renewal payments no later than December 9 in order for payment to post to their Renewal Accounts by the December 11 deadline. Firms paying by check should account for U.S. mail processing time when sending payment.

Automatic Daily-to-Renewal Account Transfer

To facilitate payment of renewal fees, FINRA will automatically transfer funds from a firm's Daily Account to its Renewal Account on December 11, the Preliminary Renewal Statement payment deadline. FINRA will transfer funds only if a firm has sufficient funds available in its Daily Account on December 11 to cover the amount due.

Please Note: If a firm does not want this automatic transfer of funds, the firm should ensure that its payment is received in its Renewal Account by the December 11 deadline. Separately, if a firm wishes to transfer funds between affiliated firms, the firm should contact the IARD Call Center at (240) 386-4848 for further instructions prior to the renewal deadline.

- Submit any electronic form filings you wish to send prior to year-end by no later than 1 p.m. Eastern Time December 24, 2009.

NOTE: IARD and Web CRD are unavailable December 25 due to the holiday schedule and on December 26 and 27, due to the generation of Final Renewal Statements. From December 28 through 31 your firm may be able to query the systems and/or create 'pending' form filings but you will not be able to submit pending filings until January 4, 2010, when full system functionality resumes.

- Retrieve your firm's Final Renewal Statement from IARD on January 4, 2010.

TIP: Your final renewal report will also be available beginning January 4. **Keep a copy of this report for your records.**

- Reconcile your Final Renewal Statement on or before February 5, 2010. If you have an amount due, pay the full amount or have sufficient funds to cover full payment in your firm's Daily Account with FINRA by February 5, the deadline for receipt of Final Renewal Statement payments. Firms should submit their electronic (*i.e.*, E-Pay, wire transfer) renewal payments no later than February 3 in order for payment to post to their Renewal Accounts by February 5. Firms paying by check should account for U.S. mail processing time when sending payment.

Automatic Daily-to-Renewal Account Transfer

To facilitate payment of renewal fees, FINRA will automatically transfer funds from a firm's Daily Account to its Renewal Account on February 5, the Final Renewal Statement payment deadline. FINRA will transfer funds only if a firm has sufficient funds available in its Daily Account on February 5 to cover the amount due. **Please Note:** If a firm does not want this automatic transfer of funds, the firm should ensure that its payment is received in its Renewal Account by the February 5 deadline. Separately, if a firm wishes to transfer funds between affiliated firms, the firm should contact the IARD Call Center at (240) 386-4848 for further instructions prior to the renewal deadline.

If you believe there are discrepancies on your Final Renewal Statement, report them, in writing, directly to FINRA by February 5.