

2017 Renewal Program Calendar

October 2016	
3	Firms should review their registered persons to ensure that they have properly and timely reported all appropriate information to Web CRD [®] and IARD [™] and that all open branch offices have individuals assigned to them and are accurately reported. Refer to the IARD Availability Schedule for weekend and holiday hours of operation as this schedule pertains to renewal milestones only.
24	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated 12/31/16 .
November 2016	
1	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated 12/31/16 .
12	Web CRD/IARD is unavailable as Preliminary Statements are generating.
14	Preliminary Statements are available for viewing and printing through E-Bill . Renewal reports can be requested through IARD .
December 2016	
16	DEADLINE for receipt of Preliminary Statement payments. Firms with sufficient monies in their Flex-Funding Account will have funds automatically 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	LAST DAY to submit form filings prior to year-end. Web CRD/IARD is available from 5 a.m. until 6 p.m., Eastern Time (ET).
28	Web CRD/IARD is unavailable due to Final Statement and renewals processing.
29-30	Web CRD/IARD is available for QUERY-only and the creation of "Pending" filings.
January 2017	
1-2	Web CRD/IARD is unavailable due to renewals processing.
3	Web CRD/IARD is 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 Account. Refund requests should be made from this account through E-Bill. • Final Statements are available for viewing and printing through E-Bill. Renewal reports can be requested through IARD.
20	DEADLINE for receipt of Final Statement payments. Firms with sufficient monies in their Flex-Funding Accounts will have funds automatically transferred to their Renewal Accounts to cover total renewal fees owed. Transfers will be conducted every day until any outstanding renewal assessment is satisfied.