

## 2021 Renewal Program Calendar

October 2020	
Thu., 10/01	FINRA suggests firms review their registered persons in CRD® to ensure that they have properly and timely reported all appropriate information and that all open branch offices have individuals assigned to them and are accurately reported. Refer to the <a href="#">CRD/IARD Availability Schedule</a> for hours of operation as this calendar pertains only to renewal milestones.
Mon., 10/19	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated <b>12/31/20</b> .
November 2020	
Sun., 11/01	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated <b>12/31/20</b> .
Sat., 11/14	IARD/CRD are unavailable as Preliminary Statements are generating. <b>Note:</b> Form U4 filings are now drafted exclusively in FINRA Gateway. While FINRA Gateway is usually available 24 hours a day, seven days a week—the submission of draft/pending registration filings, including the Form U4, is only possible when CRD/IARD is available.*
Mon., 11/16	<b>Preliminary</b> Statements are available through <a href="#">E-Bill</a> .
December 2020	
Mon., 12/14	<b>Deadline</b> for receipt of Preliminary Statement payments. Firms with enough money in their Flex-Funding Account to cover their total renewal fees owed will have funds transferred to their Renewal Account. Transfers will be conducted daily going forward until IARD/CRD shuts down for year-end processing December 26.
Sat., 12/26	<b>Last Day</b> to submit registration filings prior to year-end. IARD/CRD are available from 8 a.m. until 6 p.m. Eastern Time (ET). After 6 p.m. ET, IARD/CRD are unavailable. FINRA Gateway is available.*
Sun., 12/27	IARD/CRD are unavailable due to Final Statement and renewals processing. FINRA Gateway is available.*
Mon., 12/28- Thur., 12/31	IARD/CRD are available for query purposes and to create "Pending" filings. FINRA Gateway is available.*
January 2021	
Fri., 01/01	IARD/CRD are unavailable due to renewals processing. FINRA Gateway is available.*
Sat., 01/02	IARD/CRD are available with complete functionality as of 8 a.m., ET, including submitting registration filings and approving registrations. <ul style="list-style-type: none"> <li>• Any overpayment is available in your firms' Flex-Funding Account. Refund requests should be made from this account through <a href="#">E-Bill</a>.</li> <li>• Final Statements are available for viewing and printing through <a href="#">E-Bill</a>.</li> </ul>
Fri., 01/22	<b>Deadline</b> for receipt of Final Statement payments. Firms with enough money in their Flex-Funding Account to cover all renewal fees owed will have funds transferred to their Renewal Account. Transfers will be conducted daily until any outstanding renewal assessment is satisfied.

\* FINRA Gateway is available and firms can create draft/pending Form U4 filings for individuals with a pre-existing CRD record at any time in FINRA Gateway; however, these draft/pending Form U4 filings can only be submitted when IARD/CRD is available.

(As of 9/09/2020)