



# Financial Filing Due Dates

## Annual Audit Reports

Period Ending	Due Date
November 30, 2014	January 29, 2015
December 31, 2014	March 2, 2015
January 31, 2015	April 1, 2015
February 28, 2015	April 29, 2015
March 31, 2015	June 1, 2015
April 30, 2015	June 29, 2015
May 31, 2015	July 30, 2015
June 30, 2015	August 31, 2015
July 31, 2015	September 29, 2015
August 31, 2015	October 30, 2015
September 30, 2015	November 30, 2015
October 31, 2015	December 30, 2015
November 30, 2015	January 29, 2016
December 31, 2015	February 29, 2016

## Quarterly FOCUS II/IA

Period Ending	Due Date
December 31, 2014	January 27, 2015
March 31, 2015	April 24, 2015
June 30, 2015	July 24, 2015
September 30, 2015	October 23, 2015
December 31, 2015	January 27, 2016

## SSOI Filings

Period Ending	Due Date
December 31, 2014	January 30, 2015
March 31, 2015	April 29, 2015
June 30, 2015	July 29, 2015
September 30, 2015	October 28, 2015
December 31, 2015	February 1, 2016

## Form Custody Filings

Period Ending	Due Date
December 31, 2014	January 27, 2015
March 31, 2015	April 24, 2015
June 30, 2015	July 24, 2015
September 30, 2015	October 23, 2015
December 31, 2015	January 27, 2016

## 2015 FINRA Holidays

Date	Holiday
Thursday, January 1, 2015	New Year's Day
Monday, January 19, 2015	Martin Luther King, Jr. Day
Monday, February 16, 2015	Presidents' Day
Friday, April 3, 2015	Good Friday
Friday, May 22, 2015	Friday before Memorial Day (3 p.m. early close)
Monday, May 25, 2015	Memorial Day
Thursday, July 2, 2015	Day before Independence Day (1 p.m. early close)
Friday, July 3, 2015	Independence Day
Friday, September 4, 2015	Friday before Labor Day (3 p.m. early close)
Monday, September 7, 2015	Labor Day
Wednesday, November 25, 2015	Day before Thanksgiving Day (3 p.m. early close)
Thursday, November 26, 2015	Thanksgiving Day
Friday, November 27, 2015	Day after Thanksgiving Day (1 p.m. early close)
Thursday, December 24, 2015	Christmas Eve (1 p.m. early close)
Friday, December 25, 2015	Christmas Day
Thursday, December 31, 2015	New Year's Eve (3 p.m. early close)

## SIS Form Filings

Period Ending	Due Date
December 31, 2014	January 30, 2015
January 31, 2015	March 2, 2015
February 28, 2015	March 27, 2015
March 31, 2015	April 29, 2015
April 30, 2015	May 29, 2015
May 31, 2015	June 26, 2015
June 30, 2015	July 29, 2015
July 31, 2015	August 28, 2015
August 31, 2015	September 29, 2015
September 30, 2015	October 28, 2015
October 31, 2015	November 30, 2015
November 30, 2015	December 29, 2015
December 31, 2015	February 1, 2016