

2023 Renewal Program Calendar

October 2022	
Monday, Oct. 3	<p>FINRA suggests firms review their registered persons in FINRA Gateway 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.</p> <p>REMINDER: All Forms U4, U5 and BR must be submitted through FINRA Gateway. Forms BD, BDW, ADV and ADV-W may be submitted through IARD/CRD</p>
Monday, Oct. 17	Firms may begin to submit post-dated Forms U5 and BR Closing/Withdrawal, which must be dated Dec. 31, 2022 .
November 2022	
Tuesday, Nov. 1	Firms may begin to submit post-dated Forms BDW and ADV-W, which must be dated Dec. 31, 2022 .
Saturday, Nov. 5	IARD/CRD are unavailable as Preliminary Statements are generating. While FINRA Gateway is usually available 24 hours a day, seven days a week—the submission of draft filings is only possible when IARD/CRD is available.*
Monday, Nov. 7	Preliminary Statements are available through E-Bill and can be accessed through FINRA Gateway .
December 2022	
Monday, Dec. 12	<p>Deadline 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.</p> <p>Transfers will be conducted daily going forward until CRD/IARD shuts down for year-end processing December 22.</p>
Thursday, Dec. 22	Last Day to submit registration filings prior to year-end. IARD/CRD are available from 5 a.m. until 11 p.m. ET. After 11 p.m. ET, IARD/CRD are unavailable. FINRA Gateway is available.*
Friday, Dec. 23– Tuesday, Dec. 27	IARD/CRD are unavailable due to Final Statement and renewals processing. FINRA Gateway is available.*
Wednesday, Dec. 28 –Saturday, Dec. 31	IARD/CRD are available for query purposes and to create "Pending" filings. FINRA Gateway is available.*
January 2023	
Sunday, Jan. 1	IARD/CRD are unavailable due to renewals processing. FINRA Gateway is available.*
Monday, Jan. 2	<p>IARD/CRD are available with complete functionality as of 5 a.m. ET, including submitting registration filings and approving registrations.</p> <ul style="list-style-type: none"> • Any overpayment is available in your firm's Flex-Funding Account. Refund requests should be made from this account through E-Bill. You can access E-Bill via FINRA Gateway. • Final Statements are available for viewing and printing through E-Bill and can be accessed through FINRA Gateway.
Friday, Jan. 27	<p>Deadline 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.</p>