

April 2018 Compliance Calendar

View upcoming compliance dates and events.

Category

REMINDER

EFFECTIVE DATE

EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
	<p>REMINDER Certification of compliance and supervisory procedures must be completed annually, under Rule G-44(d), between April 23, 2017 and April 23, 2018 (MA)</p>					
29	30					
	<p>REMINDER Last day to submit Form G-37 Quarterly Disclosures (MA/BD) See Rule G-37 Interpretive FAQs</p> <p>REMINDER Last day to make timely payment of municipal advisor professional fee(s), under Rule A-11 (MA)</p>					

Regulated Entity

MA = Municipal Advisor
BD = Broker, Dealer or
Municipal Securities Dealer
MA/BD = All MSRB-registered firms

Have a suggestion for the compliance calendar? Contact the MSRB at compliance@msrb.org.

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May 2018 Compliance Calendar

View upcoming compliance dates and events.

Category

REMINDER
EFFECTIVE DATE
EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		1	2	3	4	5
6	7	8	9	10	11	12
13	14 EFFECTIVE DATE Rule G-15, on Confirmation, Clearance, Settlement and Other Uniform Practice Requirements; and Rule G-30, on Prices and Commissions (BD)	15	16	17	18	19
20	21	22	23	24 EVENT Compliance Workshop on MSRB Rule G-44: Small Firm Municipal Advisor Supervision (MA)	25	26
27	28	29	30	31 REMINDER Last day to make timely payment for new 529 plan underwriting fee (BD)		

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June 2018 Compliance Calendar

View upcoming compliance dates and events.

Category

REMINDER

EFFECTIVE DATE

EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
				EFFECTIVE DATE Rule G-34, on CUSIP Numbers, New Issue, and Market Information Requirements (MA/BD)		
17	18	19	20	21	22	23
					EVENT Compliance Workshop on MSRB Rule G-17: Making Disclosures to Issuers (MA/BD)	
24	25	26	27	28	29	30
						EFFECTIVE DATE Amended Form G-45 on data collection for 529 plans/ABLE programs (BD)

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