

August 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 REMINDER Last day to submit input on Retrospective Review of 2012 Interpretive Notice Concerning Application of MSRB Rule G-17 to Underwriters of Municipal Securities (MA/BD)	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29 REMINDER Last day to submit Form G-45 for period ending June 30, 2018 First deadline for ABLE program reporting (BD)	30	31	

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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September 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
					EVENT Compliance Workshop on MSRB Rule G-37: Completing Form G-37 (MA/BD)	
16	17	18	19	20	21	22
	REMINDER Last day to submit input on Draft Amendments to MSRB Rules on Primary Offering Practices (MA/BD)					
23	24	25	26	27	28	29
30	31					

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October 2018 Compliance Calendar

View upcoming compliance dates and events.

Category

REMINDER

EFFECTIVE DATE

EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1 REMINDER Implementation date for MSRB's modified professional qualifications program under Rule G-3 (MA/BD)	2	3	4	5	6
7	8	9	10	11 EVENT Virtual Workshop: EMMA® for Municipal Advisors (MA)	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31 REMINDER Last day to make timely payment for annual registration fee(s), under Rule A-12 (MA/BD) REMINDER Last day to submit Form G-37 Quarterly Disclosures (MA/BD) See Rule G-37 Interpretive FAQs			

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