

2026 Compliance Calendar

Deadlines for SEC-registered investment advisers with a December 31 fiscal year end.

JANUARY							FEBRUARY							MARCH							APRIL							MAY							JUNE						
4	5	6	7	8	9	10	8	9	10	11	12	13	14	8	9	10	11	12	13	14	5	6	7	8	9	10	11	5	6	7	8	9	10	11	7	8	9	10	11	12	13
11	12	13	14	15	16	17	15	16	17	18	19	20	21	15	16	17	18	19	20	21	12	13	14	15	16	17	18	10	11	12	13	14	15	16	14	15	16	17	18	19	20
18	19	20	21	22	23	24	22	23	24	25	26	27	28	22	23	24	25	26	27	28	19	20	21	22	23	24	25	17	18	19	20	21	22	23	21	22	23	24	25	26	27
25	26	27	28	29	30	31								29	30	31					26	27	28	29	30			24	25	26	27	28	29	30	28	29	30				

JULY							AUGUST							SEPTEMBER							OCTOBER							NOVEMBER							DECEMBER						
5	6	7	8	9	10	11	2	3	4	5	6	7	8	6	7	8	9	10	11	12	4	5	6	7	8	9	10	8	9	10	11	12	13	14	6	7	8	9	10	11	12
12	13	14	15	16	17	18	9	10	11	12	13	14	15	13	14	15	16	17	18	19	11	12	13	14	15	16	17	15	16	17	18	19	20	21	13	14	15	16	17	18	19
19	20	21	22	23	24	25	16	17	18	19	20	21	22	20	21	22	23	24	25	26	18	19	20	21	22	23	24	22	23	24	25	26	27	28	20	21	22	23	24	25	26
26	27	28	29	30			25	26	27	28	29			27	28	29	30				25	26	27	28	29	30	31	29	30						27	28	29	30	31		

Regulatory Filings

- **Form ADV Annual Amendment:** Due within 90 days of FYE
 - **Form ADV Delivery:** Due within 120 days of FYE
 - **Form 13F:** Due within 45 days of QE by Institutional Managers
 - **Form 13H:** Due within 10 days of QE by Large Traders (if required)
 - **Form 13H:** Due within 45 days of year end by Large Traders
 - **Schedule 13G:** Due within 45 days of QE or 5 business days after month-end (if required)
 - **Form N-PX:** Due by August 31 of each year by Institutional Managers
- ***Schedule 13D:** Due within 2 days after material change from previous filing

Other Regulatory Deadlines

Quarterly Certifications

- **Code of Ethics Certifications and Personal Transactions:** Due within 30 days of QE

Compliance with New Rules

- **Regulation S-P Amendments:** Compliance deadline of June 3, 2026, for Smaller Entities (institutions that do not meet the “Larger” standards)
- **Investment Company Names Rule:** Compliance deadline of June 11, 2026, for Larger Entities, and compliance deadline of December 11, 2026, for Smaller Entities

Annual Renewals

- **2026 Final Renewal Statement:** Available in E-Bill via IARD on 1/2/2026
- **2026 Final Renewal Payment:** Deadline due on 1/23/2026
- **2027 Preliminary Renewal Statement:** Available on 11/9/2026
- **2027 Preliminary Renewal Payment:** Deadline due on 12/7/2026

Other Matters

- **GIPS Compliance Notification:** Due by June 30 of each year
- **Asset Manager Code Compliance Notification:** Due by June 30 of each year. FINRA Entitlement Certification (SAA Certification) available via IARD starting in mid-April.
- **IAR Continuing Education Deadline:** Due by 12/31 of each year for participating state jurisdictions

Federal Holidays

- **Federal Holidays:** (EDGAR closed)
- **IARD shuts down on 12/26 at 6 PM EST for year-end processing