



ANNUAL AUDIT FILING DUE DATES

Period End	Due Date
December 31, 2010	March 1, 2011
January 31, 2011	April 1, 2011
February 28, 2011	April 29, 2011
March 31, 2011	May 31, 2011
April 30, 2011	June 29, 2011
May 31, 2011	August 1, 2011
June 30, 2011	August 29, 2011
July 31, 2011	September 29, 2011
August 31, 2011	October 31, 2011
September 30, 2011	November 29, 2011
October 31, 2011	December 30, 2011
November 30, 2011	January 30, 2012
December 31, 2011	February 29, 2012



MONTHLY AND FIFTH* FOCUS II/IIA FILINGS

Period Ending	Due Date
November 30, 2010	December 23, 2010
January 31, 2011	February 24, 2011
February 28, 2011	March 23, 2011
April 30, 2011	May 24, 2011
May 31, 2011	June 23, 2011
July 31, 2011	August 23, 2011
August 31, 2011	September 26, 2011
October 31, 2011	November 23, 2011
November 30, 2011	December 23, 2011



QUARTERLY FOCUS PART II/IIA FILINGS

Quarterly FOCUS Part II/IIA Filings	
Quarter Ending	Due Date
December 31, 2010	January 26, 2011
March 31, 2011	April 26, 2011
June 30, 2011	July 26, 2011
September 30, 2011	October 25, 2011
December 31, 2011	January 25, 2012

ANNUAL SCHEDULE I FILINGS

Annual Schedule I	Due Date
2010 Annual FOCUS Schedule I	January 26, 2011 - 11:59 p.m. ET
2011 Annual FOCUS Schedule I	January 25, 2012 - 11:59 p.m. ET



2011 CUSTOMER COMPLAINTS DUE DATES

Quarter	Date
1st quarter 2011:	April 15, 2011
2nd quarter 2011:	July 15, 2011
3rd quarter 2011:	October 17, 2011
4th quarter 2011:	January 17, 2012



OTHER IMPORTANT DATES:

FINRA Contact System (FCS) due January 25, 2012

FINRA Rule 2711 Attestation due April 1, 2012

SIPC-7 ANNUAL RECONCILIATION

Year-end Date	Due Dates
January 31, 2011	April 1, 2011
February 28, 2011	April 29, 2011
March 31, 2011	May 31, 2011