

Form 10-K Deadlines*

Large Accelerated Filers: March 1
(60 days after fiscal year end)

Accelerated Filers: March 16
(75 days after fiscal year end)

Non-Accelerated Filers: March 31
(90 days after fiscal year end)

* 15-day extension available with a timely Form 12b-25 filing.

Form 20-F Deadline†

Foreign Private Issuers: May 2
(4 months after fiscal year end)

† 15-day extension available with a timely Form 12b-25 filing.

Form 40-F Deadline

Canadian Foreign Private Issuers qualifying for the Multi-Jurisdictional Disclosure System:
Same day annual report is due to be filed in Canada

Form 10-Q Deadlines**

Large Accelerated Filers and Accelerated Filers: May 10, August 9, and November 9
(40 days after each quarter end)

Accelerated Filers:
May 10, August 9, and November 9
(40 days after each quarter end)

Non-Accelerated Filers:
May 16, August 15, and November 14
(45 days after each quarter end)

** 5-day extension available with a timely Form 12b-25 filing.

Definitive Proxy Statement (DEF 14A)

(or information statement) if Part III of Form 10-K incorporates information from proxy by reference
May 2 (120 days after fiscal year end)

N-PX - August 31

N-CSR & N-CSRS - Due to be printed and mailed 60 days following end of each half year by investment companies. EDGAR filing is due 10 days after mailing date.

N-PORT - Must file each month in a fiscal quarter no later than 60 days after the end of that quarter.

N-CEN - Within 75 days of the fund's fiscal year-end (75 days after the calendar year-end for unit investment trusts).

485APOS - Could file anytime, but often files 60 days or more before the regularly scheduled 485BPOS.

485BPOS - Filing deadline 120 days from the end of the fiscal year.

497 - Filing deadline 5 days after the effective date or from the date of offering to the public, whichever comes later.

EDGAR filings may be made between 6:00 a.m. and 10:00 p.m. ET on weekdays (excluding holidays). Filings submitted after 5:30 p.m. ET receive the next business day's filing date (except Section 16 filings and Rule 462(b) registration statements, which receive the actual filing date). NYSE and NASDAQ trading hours generally are 9:30 a.m. to 4:00 p.m. ET. NYSE and NASDAQ each have rules requiring listed companies to provide them with advance notice of disclosures of material information (NYSE Listed Company Manual Section 202.06; NYSE American Company Guide, Part 4; NASDAQ Marketplace Rule 5250).

JANUARY

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30	31					

FEBRUARY

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MARCH

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APRIL

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JUNE

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JULY

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AUGUST

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SEPTEMBER

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OCTOBER

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NOVEMBER

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DECEMBER

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25	26	27	28	29	30	31

- Large Accelerated Filers
- Accelerated Filers
- Non-Accelerated Filers
- Definitive Proxy Statement
- Foreign Private Issuers
- SEC Holidays

* SEC deadlines for companies with December 31, 2021 fiscal year end. Deadlines may be calculated for companies with non-calendar year fiscal year ends using the applicable number of days after year end. When the deadline falls on a weekend or holiday, the deadline is extended to the next business day pursuant to Rule 0-3(a) under the Securities Exchange Act of 1934, as amended.

Beneficial Ownership Filing Deadlines

Form 3	Within 10 days of becoming an officer, director, or beneficial owner of more than 10% of a class of equity securities; if the issuer is registering equity for the first time, then by the effective date of the applicable registration statement
Form 4	2 business days after the transaction date
Form 5	45 days after fiscal year end (February 14)
Schedule 13G	45 days after calendar year end (February 14)
Schedule 13D	10 days after acquiring more than 5% beneficial ownership; amendments are due promptly after material changes

Other Reporting Deadlines

Form 8-K	4 business days after occurrence of a triggering event
Form SD	No later than May 31 of each year
Form 13F	45 days after calendar year end and after each of the first three quarter ends (February 14, May 16, August 15, and November 14)
Form 11-K	90 days after plan's fiscal year end (March 31); plans subject to ERISA may file the plan statements within 180 calendar days after plan's fiscal year end (June 29)