



# 2016

## *Calendar of Filing Deadlines and SEC Holidays*

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**IMPORTANT:** The following calendar is designed to help companies remember quarterly and annual filing deadlines (10-Qs, 10-Ks, 13-Fs and 20-Fs). This filing deadline calendar is provided for informational purposes only. All information is from sources believed to be reliable. However, accuracy cannot be guaranteed. Do not act or rely upon the results provided without seeking the services of competent professional counsel.

*\*assumes 12/31 fiscal year end*

## SEC DEADLINES

	LARGE ACCELERATED FILERS	ACCELERATED FILERS	NON-ACCELERATED FILERS
10-K	Monday, March 2	Monday, March 16	Tuesday, March 31
NT 10-K	Tuesday, March 3	Tuesday, March 17	Wednesday, April 1
Late 10-K	Tuesday, March 17	Tuesday, March 31	Wednesday, April 15
10-Q	Monday, May 11	Monday, May 11	Friday, May 15
NT 10-Q	Tuesday, May 12	Tuesday, May 12	Monday, May 18
Late 10-Q	Monday, May 18	Monday, May 18	Wednesday, May 20
10-Q	Monday, August 10	Monday, August 10	Friday, August 14
NT 10-Q	Tuesday, August 11	Tuesday, August 11	Monday, August 17
Late 10-Q	Monday, August 17	Monday, August 17	Wednesday, August 19
10-Q	Monday, November 9	Monday, November 9	Monday, November 16
NT 10-Q	Tuesday, November 10	Tuesday, November 10	Tuesday, November 17
Late 10-Q	Monday, November 16	Monday, November 16	Monday, November 23

## SEC FILING HOLIDAYS

DATE	HOLIDAY
Friday, January 1	New Year's Day
Monday, January 18	Martin Luther King, Jr. Day
Monday, February 15	Washington's Birthday
Monday, May 30	Memorial Day
Monday, July 4	Independence Day
Monday, September 5	Labor Day
Monday, October 10	Columbus Day
Friday, November 11	Veterans Day
Thursday, November 24	Thanksgiving Day
Monday, December 26	Christmas Day

## INVESTMENT MANAGER DEADLINES

DATE	FILING
Tuesday, February 17	13-F
Friday, May 15	13-F
Friday, August 14	13-F
Monday, November 16	13-F

## SEC DEADLINES GUIDANCE

LARGE ACCELERATED FILERS	ACCELERATED FILERS	NON-ACCELERATED FILERS
10-K: 60 days from year end	10-K: 75 days from year end	10-K: 90 days from year end
NT 10-K: 15-day extension	NT 10-K: 15-day extension	NT 10-K: 15-day extension
10-Q: 40 days from quarter end	10-Q: 40 days from quarter end	10-Q: 45 days from quarter end
NT 10-Q: 5-day extension	NT 10-Q: 5-day extension	NT 10-Q: 5-day extension

*All dates assume 12/31 fiscal year end. All deadlines and deadline extensions shown in calendar days.*

*\*assumes 12/31 fiscal year end*

## OTHER FILING DEADLINES

### OTHER FORM TYPES

8-K	Fourth Business Day After Event
11-K	180 Days After The Plan's Fiscal Year End

### SECTION 16

Form 3	No Later than Effective Date of Registration Statement if Issuer Registering Securities for the First Time or 10 Days After Individual Becomes a Reporting Person if Issuer Already Registered
Form 4	Second Business Day After Registered Securities are Traded
Form 5	45th Day After End of Issuer's Fiscal Year (If Required)

### OTHER DEADLINES

485APOS	120 Days After Fiscal Year End
485BPOS	120 Days After Fiscal Year End
N-Q	60 Days After First and Third Fiscal Quarter End
N-PX	No Later than August 31 of Each Year
N-SAR (Annual)	60 Days After Fiscal Year End
N-SAR (Semiannual)	60 Days After End of Second Fiscal Quarter
N-CSR/N-30D	Due to Be Printed and Mailed 60 Days Following End of Each Half Year by Investment Companies. EDGAR Filing Due 10 Days After Mailing Date
13-D	10 Days After Acquisition of More than 5% Beneficial Ownership
13-G	45 Days Following End of Calendar Year
24F-2	90 Days Following End of Fiscal Year by Investment Companies
D	15 Calendar Days After the "Date of First Sale" of Securities in the Offering

### FOREIGN PRIVATE ISSUERS

6-K	Due Promptly After Material Contained in Report is Made Public
20-F	Due Within Four Months After Fiscal Year End
40-F	Due Same Day Information Included Therein is Due to be Filed With Any Securities Commission or Equivalent Regulatory Authority in Canada



# January 2016

## December 2015

S	M	T	W	T	F	S
		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	29	30	31		

## February 2016

S	M	T	W	T	F	S
	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						

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## Sunday Monday Tuesday Wednesday Thursday Friday Saturday

					1 New Year's Day (SEC CLOSED)	2
3	4	5	6	7	8 DEADLINE N-MFP	9
10	11 DEADLINE 12/31/15 13H-Q	12	13 DEADLINE 09/30/15 10-K <sup>(3)*</sup> 08/31/15 20-F*	14	15	16
17	18 Martin Luther King, Jr. Day (SEC CLOSED)	19	20	21	22	23
24	25	26	27	28 DEADLINE 09/30/15 20-F	29	30
31						

(1) Large Accelerated Filers (2) Accelerated Filers (3) Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension



# February 2016

### January 2016

S	M	T	W	T	F	S
					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	29	30
31						

### March 2016

S	M	T	W	T	F	S
		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	29	30	31		

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1	2	3	4	5 DEADLINE N-MFP	6
7	8	9 DEADLINE 12/31/15 10-Q <sup>(1)(2)</sup>	10	11	12 DEADLINE 09/30/15 20-F*	13
14	15 Washington's Birthday (SEC CLOSED)	16 DEADLINE 11/30/15 10-K <sup>(2)</sup> 12/31/15 10-Q <sup>(3)</sup> 12/31/15 13F/13H-A 12/31/15 10-Q <sup>(1)(2)*</sup> Form 5 13-G 13-G/A	17	18	19	20
21	22 DEADLINE 12/31/15 10-Q <sup>(3)†</sup>	23	24	25	26	27
28	29 DEADLINE 12/31/15 10-K <sup>(1)</sup> 10/31/15 20-F NSAR-B NSAR-U					

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension

## February 2016

S	M	T	W	T	F	S
	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	29					

## April 2016

S	M	T	W	T	F	S
					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	29	30

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## Sunday

## Monday

## Tuesday

## Wednesday

## Thursday

## Friday

## Saturday

		1	2	3	4	5
6	7 DEADLINE N-MFP	8	9	10 DEADLINE N-CSR	11	12
13	14	15 DEADLINE 12/31/15 10-K <sup>(2)</sup> 10/31/15 20-F* NSAR-B* NSAR-U*	16 DEADLINE 12/31/15 10-K <sup>(1)*</sup>	17	18	19
20	21	22	23	24	25 DEADLINE N-CSR*	26
27	28	29 DEADLINE 11/30/15 20-F	30 DEADLINE 12/31/15 11-K 12/31/15 10-K <sup>(3)</sup> 24F-2	31 DEADLINE 12/31/15 10-K <sup>(2)*</sup> 13H-Q		

### March 2016

S	M	T	W	T	F	S
		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	29	30	31		

### May 2016

S	M	T	W	T	F	S
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
29	30	31				

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
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					1	2
3	4	5	6	7 DEADLINE N-MFP	8	9
10	11 DEADLINE 03/31/16 13H-Q	12	13 DEADLINE 11/30/15 20-F*	14 DEADLINE 12/31/15 11-K*	15 DEADLINE 12/31/15 10-K <sup>(3)*</sup>	16
17	18	19	20	21	22	23
24	25	26	27	28	29 DEADLINE Proxy Statement or 12/31/15 10-K/A <sup>(1)(2)(3)</sup> 12/31/15 20-F	30

## April 2016

S	M	T	W	T	F	S
					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	29	30

## June 2016

S	M	T	W	T	F	S
			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	29	30		

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
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1	2 <b>DEADLINE</b> 12/31/15 20-F	3	4	5	6 <b>DEADLINE</b> N-MFP1	7
8	9	10 <b>DEADLINE</b> 03/31/16 10-Q <sup>(1)(2)</sup>	11	12	13	14
15	16 <b>DEADLINE</b> 03/31/16 13-F 03/31/16 10-Q <sup>(1)(2)†(3)</sup> 12/31/15 20-F*	17 <b>DEADLINE</b> 12/31/15 20-F*	18	19	20	21
22	23 <b>DEADLINE</b> 03/31/16 10-Q <sup>(3)†</sup>	24	25	26	27	28
29	30 Memorial Day (SEC CLOSED)	31 <b>DEADLINE</b> 01/31/16 20-F 03/31/16 10-K <sup>(1)</sup> N-Q SD				





# June 2016

## May 2016

S	M	T	W	T	F	S
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
29	30	31				

## July 2016

S	M	T	W	T	F	S
					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	29	30
31						

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## Sunday Monday Tuesday Wednesday Thursday Friday Saturday

			<b>1</b> DEADLINE 01/31/16 20-F	<b>2</b>	<b>3</b>	<b>4</b>
<b>5</b>	<b>6</b>	<b>7</b> DEADLINE N-MFP1	<b>8</b>	<b>9</b>	<b>10</b>	<b>11</b>
<b>12</b>	<b>13</b>	<b>14</b> DEADLINE 01/31/16 20-F* 03/31/16 10-K <sup>(2)</sup>	<b>15</b> DEADLINE 03/31/16 10-K <sup>(1)*</sup>	<b>16</b>	<b>17</b>	<b>18</b>
<b>19</b>	<b>20</b>	<b>21</b>	<b>22</b>	<b>23</b>	<b>24</b>	<b>25</b>
<b>26</b>	<b>27</b> DEADLINE 02/29/16 20-F	<b>28</b> DEADLINE 12/31/15 11-K	<b>29</b> DEADLINE 03/31/16 10-K <sup>(2+)(3)</sup>	<b>30</b> DEADLINE 13H-Q		

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension

## June 2016

S	M	T	W	T	F	S
			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	29	30		

## August 2016

S	M	T	W	T	F	S
	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	29	30	31			

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
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					1	2
3	4 Independence Day (SEC CLOSED)	5	6	7	8 DEADLINE N-MFP1	9
10	11 DEADLINE 06/30/16 13H-Q	12 DEADLINE 02/29/16 20-F*	13 DEADLINE 12/31/15 11-K*	14 DEADLINE 03/31/16 10-K <sup>(3)*</sup> 02/28/15 20-F*	15	16
17	18	19	20	21	22	23
24	25	26		28	29 DEADLINE 03/31/16 20-F	30
31						



# August 2016

## July 2016

S	M	T	W	T	F	S
					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	29	30
31						

## September 2016

S	M	T	W	T	F	S
				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	29	30	

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1	2	3	4	5 DEADLINE N-MFP1	6
7	8	9 DEADLINE 06/30/16 10-Q <sup>(1)(2)</sup>	10	11	12	13
14	15 DEADLINE 03/31/16 20-F* 06/30/16 10-Q <sup>(1)(2)(3)</sup> 06/30/16 13-F	16	17 DEADLINE 03/31/16 20-F*	18	19	20
21	22 DEADLINE 06/30/16 10-Q <sup>(3)†</sup>	23	24	25	26	27
28	29 DEADLINE 06/30/16 10-K <sup>(1)</sup> 04/30/16 20-F N-SAR-A	30	31 DEADLINE N-PX			

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension



# September 2016

## August 2016

S	M	T	W	T	F	S
	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	29	30	31			

## October 2016

S	M	T	W	T	F	S
						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	29
30	31					

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
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				1	2	3
4	5 Labor Day (SEC CLOSED)	6	7	8 DEADLINE N-CSR N-30D N-MFP1	9	10
11	12 DEADLINE 04/30/16 20-F*	13 DEADLINE 06/30/16 10-K <sup>(1*)(2)</sup> N-SAR-A*	14 DEADLINE 07/31/16 10-Q <sup>(1†)(2†)(3)</sup>	15 DEADLINE 04/30/15 20-F*	16	17
18	19	20	21	22	23 DEADLINE N-CSRS*	24
25	26 DEADLINE 06/30/16 10-K <sup>(2*)(3)</sup> 06/30/16 11-K 05/31/16 20-F	27	28	29	30 DEADLINE 13H-Q	

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension



# October 2016

## September 2016

S	M	T	W	T	F	S
				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	29	30	

## November 2016

S	M	T	W	T	F	S
		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	29	30			

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
2	3	4	5	6	7 DEADLINE N-MFP1	8
9	10 Columbus Day (SEC CLOSED)	11 DEADLINE 09/30/16 13H-Q	12	13 DEADLINE 06/30/16 10-K <sup>(3)*</sup> 06/30/16 11-K* 05/31/16 20-F*	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28 DEADLINE 06/30/16 20-F	29
30	31 DEADLINE 06/30/15 20-F					

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension



# November 2016

## October 2016

S	M	T	W	T	F	S
						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	29
30	31					

## December 2016

S	M	T	W	T	F	S
				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	29	30	31

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		1	2	3	4	5
6	7 DEADLINE N-MFP1	8	9 DEADLINE 09/30/16 10-Q <sup>(1)(2)</sup>	10	11 Veterans Day (SEC CLOSED)	12
13	14 DEADLINE 06/30/16 20-F* 09/30/16 13-F 09/30/16 10-Q <sup>(3)</sup> FORM 5 for FYE 09/30	15 DEADLINE	16	17	18	19
20	21 DEADLINE 09/30/16 10-Q <sup>(3)†</sup>	22	23	24 Thanksgiving Day (SEC CLOSED)	25	26
27	28	29 DEADLINE 09/30/16 10-K <sup>(1)</sup> N-Q	30			

<sup>(1)</sup> Large Accelerated Filers <sup>(2)</sup> Accelerated Filers <sup>(3)</sup> Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension



# December 2016

## November 2016

S	M	T	W	T	F	S
		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	29	30			

## January 2017

S	M	T	W	T	F	S
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
29	30	31				

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Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				1	2	3
4	5	6	7 DEADLINE N-MFP1	8	9	10
11	12	13	14 DEADLINE 09/30/16 10-K <sup>(1*)</sup> (2)	15	16 DEADLINE 07/31/16 20-F*	17
18	19	20	21	22	23	24
25 Christmas Day	26 Day After Christmas (SEC CLOSED)	27 DEADLINE 06/30/16 11-K	28	29 DEADLINE 09/30/16 10-K <sup>(2*)</sup> (3) 08/31/16 20-F	30	31

(1) Large Accelerated Filers (2) Accelerated Filers (3) Non-Accelerated Filers \*After 15 Day Extension †After 5 Day Extension