

## JANUARY 3

IARD Final Renewal Statement Posted

## JANUARY 12

Core Compliance<sup>SM</sup> clients receive their Form ADV Questionnaire to prepare for the updated Form ADV information required this year

## JANUARY 22

IARD Payment due to IARD Flex Funding Account

## JANUARY 24

Core Compliance<sup>SM</sup> free webinar - Form ADV: Practical Tips on Completing the Newly Revised SEC Registration Form

## JANUARY 29

Book time with your compliance consultant to review your Form ADV Questionnaire and address your questions

## FEBRUARY 8

Deadline for SAA Annual Certification

## MARCH 31

For advisers with 12/31 fiscal year end, annual filing amendments due for Forms ADV 1 & 2

## APRIL 30

For advisers who completed their annual filing amendment by 03/31, mail summary of material changes to clients.



**CORE COMPLIANCE &  
LEGAL SERVICES, INC.**

# 2018 FORM ADV FILING DEADLINES\*



## PLUS ANNUAL ADV FILING FEES

Assets Under Management / Annual Fee

**STATE REGISTRANT / \$0**

**STATE ERA / \$0**

**SEC REGISTRANT**

**(UNDER \$25 MIL) / \$40**

**SEC REGISTRANT**

**(\$25 - \$100 MIL) / \$150**

**SEC REGISTRANT**

**(OVER \$100 MIL) / \$225**

**SEC ERA / \$150**

CORECLS.COM

\*Contact us for information if your Fiscal Year End is not 12/31