

## January 2018 Compliance Calendar

View upcoming compliance dates and events.

**Category**

REMINDER

EFFECTIVE DATE

EVENT

**Regulated Entity**

MA = Municipal Advisor  
BD = Broker, Dealer or  
Municipal Securities Dealer  
MA/BD = All MSRB-registered firms

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1 EFFECTIVE DATE Rule G-3, on Continuing Education Requirements (MA)	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25 REMINDER Last day to submit Form A-12 Affirmation (MA/BD)	26	27
28	29 EFFECTIVE DATE Rule G-26, on Customer Account Transfers (BD)	30	31 REMINDER Last day to submit Form G-37 Quarterly Disclosures (MA/BD)  REMINDER Last day to review SEC Form MA-I (MA)			

Have a suggestion for the compliance calendar? Contact the MSRB at [compliance@msrb.org](mailto:compliance@msrb.org).

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## February 2018 Compliance Calendar

View upcoming compliance dates and events.

**Category**

REMINDER

EFFECTIVE DATE

EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
					1	2
						3
4	5	6	7	8	9	10
					REMINDER Last day to submit comments on MSRB Compliance Support (MA/BD)	
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28			

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## March 2018 Compliance Calendar

View upcoming compliance dates and events.

### Category

REMINDER

EFFECTIVE DATE

EVENT

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				1 REMINDER Last day to submit Form G-45 report for period ending December 31, 2017 (BD)	2	3
4	5	6	7	8	9 EVENT Compliance Workshop on MSRB Rule G-42: Documenting Your Relationships and Making Disclosures (MA)	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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