

A wide-angle photograph of the Golden Bridge in Vietnam, featuring two massive stone hands holding a golden walkway over a lush green valley. The scene is bathed in the warm, golden light of a sunset or sunrise, with misty mountains in the background. Several people are seen walking across the bridge.

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TOPPAN MERRILL

**2020**

COMPLIANCE CALENDAR

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# 2020

## COMPLIANCE CALENDAR

Can accurate, on-time regulatory disclosure be accomplished without the pressure?

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Toppan Merrill's 50 years of global expertise and technology-enabled solutions streamline financial reporting and shareholder communications. We bring a comprehensive suite of services to meet your regulatory disclosure requirements, including world-class content management and collaboration solutions, document formatting, EDGAR and XBRL filing, print, distribution and conferencing facilities.

Filing dates are color-coded throughout the calendar

- **NON-ACCELERATED**
- **ACCELERATED**
- **LARGE ACCELERATED**
- **INVESTMENT MANAGEMENT**

# Useful SEC and EDGAR Information

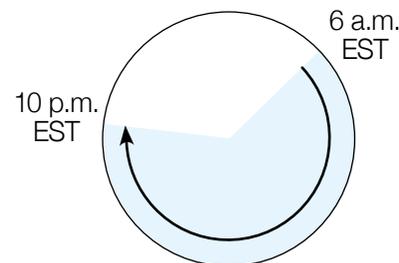
## EDGAR and SEC Holidays

Wednesday, January 1	New Year's Day
Monday, January 20	Martin Luther King, Jr. Day
Monday, February 17	Presidents' Day
Monday, May 25	Memorial Day
Friday, July 3	Independence Day
Monday, September 7	Labor Day
Monday, October 12	Columbus Day
Wednesday, November 11	Veterans Day
Thursday, November 26	Thanksgiving Day
Friday, December 25	Christmas Day

## SEC Contact Numbers and Email

Filer Support	202.551.8900
Filing Fees Branch	Option # 1
EDGAR Technical Support	Option # 3
Email	FilerTechUnit@sec.gov
EDGAR Filer Support for Corporation Finance	Option # 4
Division of Investment Management	Option # 5
Office of Structured Data	202.551.5494
Email	StructuredData@sec.gov

## EDGAR Hours of Operation



The hours of operation for submitting filings by direct transmission to the EDGAR system are 6:00 a.m.-10:00 p.m. EST weekdays, excluding federal holidays. The EDGAR system is not in operation on weekends.

## SEC Mailing Address

NOTE: Actual paper filings should be submitted to the SEC Headquarters address, not to the Operations Center:

SEC Headquarters  
100 F Street, NE  
Washington, DC 20549

To apply for EDGAR access codes (CIK and CCC), create and submit your Form ID at <https://www.filermanagement.edgarfiling.sec.gov/>

# EDGAR Hours of Operation

## Daylight Savings Time (Summer Time)

The EDGAR charts provided below are accurate throughout most of the year. However, not all countries switch to and from Daylight Savings Time —called Summer Time in many countries—on the same day. This may create a disparity of one hour during the spring (March/April), when clocks are set forward one hour, and during the fall (November), when clocks are set back one hour.

## United States

<b>EDGAR Filing Hours</b>	<b>Pacific</b>	<b>Mountain</b>	<b>Central</b>	<b>Eastern</b>
Transmit filings to the SEC*	3 a.m.-7 p.m.	4 a.m.-8 p.m.	5 a.m.-9 p.m.	6 a.m.-10 p.m.
SEC filer support assistance	6 a.m.-2:30 p.m.	7 a.m.-3:30 p.m.	8 a.m.-4:30 p.m.	9 a.m.-5:30 p.m.
SEC deadline to receive today's date (except Section 16 and MEF)**	2:30 p.m.	3:30 p.m.	4:30 p.m.	5:30 p.m.
Section 16 and MEF transmission to receive today's date	3 a.m.-7 p.m.	4 a.m.-8 p.m.	5 a.m.-9 p.m.	6 a.m.-10 p.m.

## Canada

<b>EDGAR Filing Hours</b>	<b>Vancouver</b>	<b>Calgary</b>	<b>Toronto</b>	<b>Montreal</b>
Transmit filings to the SEC*	3 a.m.-7 p.m.	4 a.m.-8 p.m.	6 a.m.-10 p.m.	6 a.m.-10 p.m.
SEC filer support assistance	6 a.m.-2:30 p.m.	7 a.m.-3:30 p.m.	9 a.m.-5:30 p.m.	9 a.m.-5:30 p.m.
SEC deadline to receive today's date (except Section 16 and MEF)**	2:30 p.m.	3:30 p.m.	5:30 p.m.	5:30 p.m.
Section 16 and MEF transmission to receive today's date	3 a.m.-7 p.m.	4 a.m.-8 p.m.	6 a.m.-10 p.m.	6 a.m.-10 p.m.

## Europe

<b>EDGAR Filing Hours</b>	<b>London</b>	<b>Paris</b>	<b>Frankfurt</b>	<b>Milan</b>
Transmit filings to the SEC*	11 a.m.-3 a.m.	12 p.m.-4 a.m.	12 p.m.-4 a.m.	12 p.m.-4 a.m.
SEC filer support assistance	2 p.m.-10:30 p.m.	3 p.m.-11:30 p.m.	3 p.m.-11:30 p.m.	3 p.m.-11:30 p.m.
SEC deadline to receive today's date (except Section 16 and MEF)**	10:30 p.m.	11:30 p.m.	11:30 p.m.	11:30 p.m.
Section 16 and MEF transmission to receive today's date	11 a.m.-3 a.m.	12 p.m.-4 a.m.	12 p.m.-4 a.m.	12 p.m.-4 a.m.

## Asia

<b>EDGAR Filing Hours</b>	<b>Mumbai</b>	<b>Hong Kong</b>	<b>Seoul/Tokyo</b>	<b>Sydney</b>
Transmit filings to the SEC*	3:30 p.m.-7:30 a.m.	6 p.m.-10 a.m.	7 p.m.-11 a.m.	8 p.m.-12 p.m.
SEC filer support assistance	6:30 p.m.-3 a.m.	9 p.m.-5:30 a.m.	10 p.m.-6:30 a.m.	11 p.m.-7:30 a.m.
SEC deadline to receive today's date (except Section 16 and MEF)**	3 a.m.	5:30 a.m.	6:30 a.m.	7:30 a.m.
Section 16 and MEF transmission to receive today's date	3:30 p.m.-7:30 a.m.	6 p.m.-10 a.m.	7 p.m.-11 a.m.	8 p.m.-12 p.m.

\* At the end of the filing day, all transmissions must be completed in order to be processed. Those that are processing at the end of the day will be terminated, requiring the filer to start over again the following day.

\*\* In order to receive today's date, the transmission must BEGIN by this time, correct fees must be available and filing must be free from errors. Section 16 and MEF are the exceptions. These filings can be processed until the end of the filing day and still receive today's date. They will also be disseminated until 10:00 p.m. EST.

# December 2019

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
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				

● N-CSR/N-CSRS (PE 9/30)  
 ● N-CEN (9/30)  
 ● 485BPOS w/XBRL (11/30 or 12/1)  
 ● 24F-2 (PE 9/30)  
 ● NPORT-P (10/31)  
 ● 485BPOS (FYE 8/31)  
 ● 485BPOS (FYE 8/31)  
 Christmas Day  
 SEC Closed

# January 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
			1	2	3	4
		New Year's Day (US) SEC Closed				
5	6	7	8	9	10	11
			● N-CSR/N-CSRS (PE 10/31)			
12	13	14	15	16	17	18
	● N-CEN (10/31)					
19	20	21	22	23	24	25
Martin Luther King, Jr. Day (US) SEC Closed			● 485BPOS w/XBRL (12/31 or 1/1)			
26	27	28	29	30	31	
● 485BPOS (FYE 9/30)	● 485BPOS (FYE 9/30)	● NPORT-P (11/30) ● 24F-2 (PE 10/31) ● 485BPOS (FYE 9/30)	● 485BPOS (FYE 9/30)	● 485BPOS (FYE 9/30)		

# February 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
● N-CSR/N-CSRS (PE 11/30)			● N-CEN (PE 11/30)		<ul style="list-style-type: none"> <li>● SC 13G &amp; 13G/A, 5, 13-F</li> </ul>	
16	17	18	19	20	21	22
Presidents' Day (US) SEC Closed						
23	24	25	26	27	28	29
<ul style="list-style-type: none"> <li>● 485BPOS w/XBRL (1/31 or 2/1)</li> <li>● 485BPOS (FYE 10/31)</li> </ul>	● 485BPOS (FYE 10/31)	● 485BPOS (FYE 10/31)	● 485BPOS (FYE 10/31)	<ul style="list-style-type: none"> <li>● 24F-2 (PE 11/30)</li> <li>● 485BPOS (FYE 10/31)</li> </ul>		

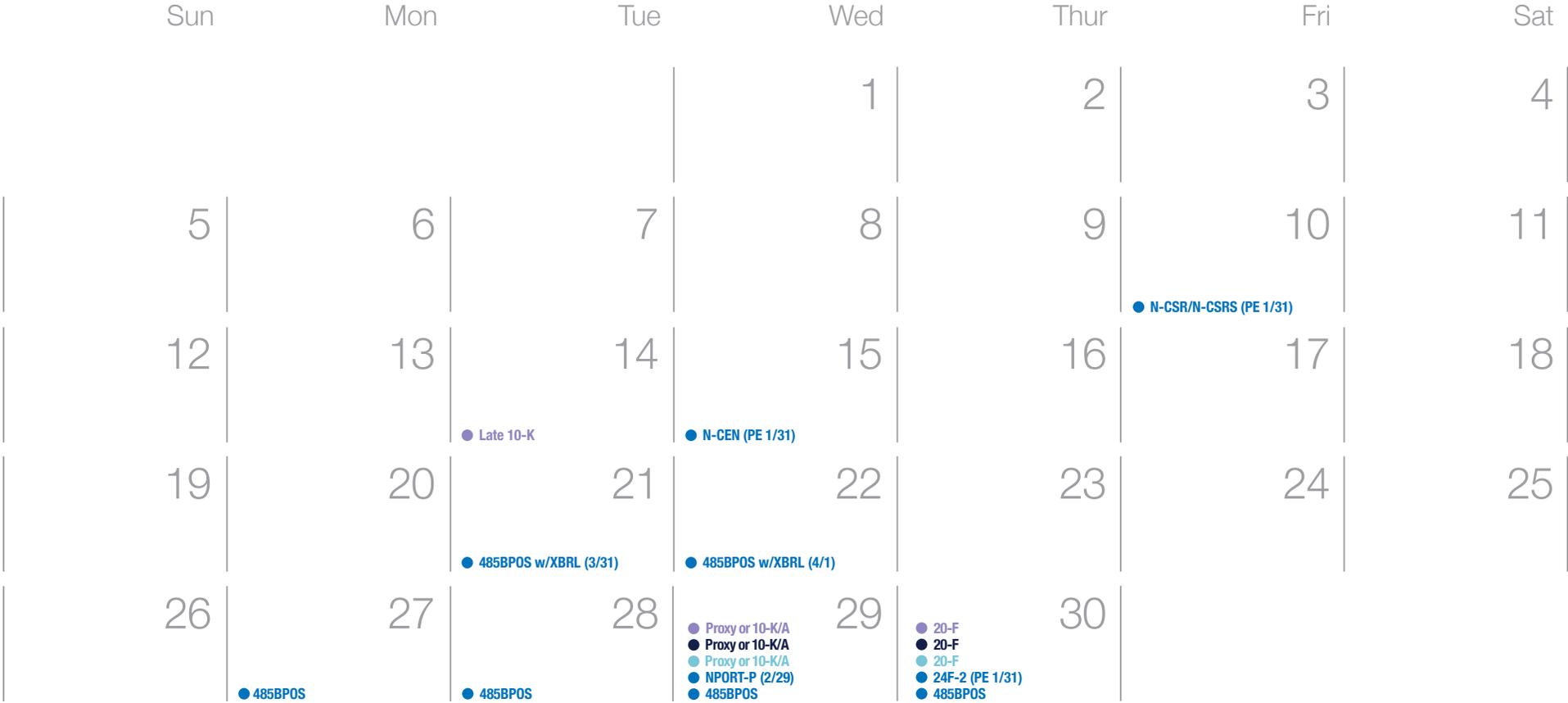
# March 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
1 ● 10-K ● NPORT-P	2 ● NT 10-K	3	4	5	6	7
8	9 ● N-CSR/N-CSRS ● N-30D	10	11	12	13	14
15 ● 10-K ● N-CEN	16 ● NT 10-K ● Late 10-K	17	18	19 ● 485BPOS w/XBRL (2/29 or 3/1)	20	21
22	23	24	25	26	27	28
29 ● 10-K ● 24F-2 ● 485BPOS (FYE 11/30)	30 ● NT 10-K ● Late 10-K ● NPORT-P (1/31) ● 485BPOS (FYE 11/30)	31				

# April 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT



# May 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
					1	2
					<ul style="list-style-type: none"> <li>● NT 20-F</li> <li>● NT 20-F</li> <li>● NT 20-F</li> </ul>	
3	4	5	6	7	8	9
10	11	12	13	14	15	16
<ul style="list-style-type: none"> <li>● 10-Q</li> <li>● 10-Q</li> <li>● N-CSR/N-CSRS (PE 2/29)</li> </ul>	<ul style="list-style-type: none"> <li>● NT 10-Q</li> <li>● NT 10-Q</li> </ul>		<ul style="list-style-type: none"> <li>● N-CEN (PE 2/29)</li> </ul>	<ul style="list-style-type: none"> <li>● 10-Q, 13-F, Late 20-F</li> <li>● 13-F, Late 20-F</li> <li>● 13-F, Late 20-F</li> <li>● 13-F</li> </ul>		
17	18	19	20	21	22	23
<ul style="list-style-type: none"> <li>● NT 10-Q</li> <li>● Late 10-Q</li> <li>● Late 10-Q</li> </ul>		<ul style="list-style-type: none"> <li>● Late 10-Q</li> </ul>	<ul style="list-style-type: none"> <li>● 485BPOS w/XBRL (PE 4/30)</li> </ul>	<ul style="list-style-type: none"> <li>● 485BPOS w/XBRL (PE 5/1)</li> </ul>		
24	25	26	27	28	29	30
<ul style="list-style-type: none"> <li>● Memorial Day (US)</li> <li>● SEC Closed</li> </ul>	<ul style="list-style-type: none"> <li>● 485BPOS (FYE 1/31)</li> </ul>	<ul style="list-style-type: none"> <li>● 485BPOS (FYE 1/31)</li> </ul>	<ul style="list-style-type: none"> <li>● 485BPOS (FYE 1/31)</li> </ul>	<ul style="list-style-type: none"> <li>● SD (CM)</li> <li>● SD (CM)</li> <li>● SD (CM)</li> <li>● 24F-2 (PE 2/29)</li> <li>● 485BPOS (FYE 1/31)</li> </ul>		
31						

# June 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
	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				

- NPORF-P (3/31)
- N-CEN (PE 3/31)
- 485BPOS w/XBRL (6/1)
- 11-K
- 11-K
- 11-K
- 24F-2 (PE 3/31)
- NPORF-P (4/30)
- 485BPOS (FYE 2/29)

- N-CSR/N-CSRS (PE 3/31)
- 485BPOS w/XBRL (5/31)
- NT 11-K
- NT 11-K
- NT 11-K
- 485BPOS (FYE 2/29)

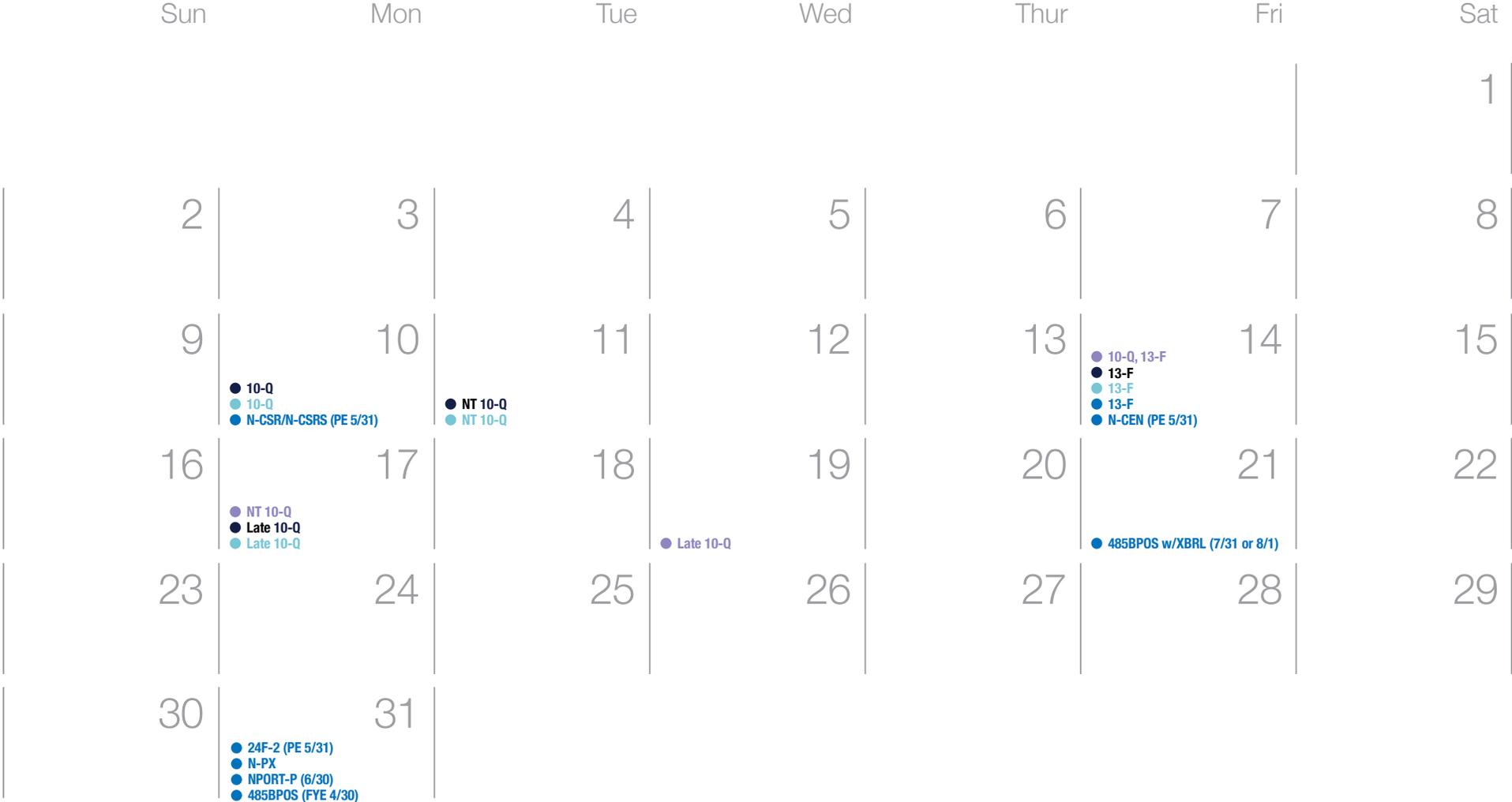
# July 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
			1	2	3	4
					Independence Day (US) (Observed) SEC Closed	Independence Day (US)
5	6	7	8	9	10	11
			● N-CSR/N-CSRS (PE 4/30)			
12	13	14	15	16	17	18
	● Late 11-K ● Late 11-K ● Late 11-K ● N-CEN (PE 4/30)					
19	20	21	22	23	24	25
		● 485BPOS w/XBRL (6/30)	● 485BPOS w/XBRL (7/1)			
26	27	28	29	30	31	
● 485BPOS (FYE 3/31)	● 485BPOS (FYE 3/31)	● 24F-2 (PE 4/30) ● 485BPOS (FYE 3/31)	● NPORT-P (5/31) ● 485BPOS (FYE 3/31)	● 485BPOS (FYE 3/31)		

# August 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT



# September 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
		1	2	3	4	5
6 Labor Day (US) SEC Closed	7 ● N-CSR/N-CSRS (PE 6/30)	8	9	10	11	12
13 ● N-CEN (6/30)	14	15	16	17	18	19
20	21 ● 485BPOS w/XBRL (8/31)	22 ● 485BPOS w/XBRL (9/1)	23	24	25	26
27 ● 24F-2 (PE 6/30) ● 485BPOS (FYE 5/31)	28 ● NPORT-P (7/31) ● 485BPOS (FYE 5/31)	29 ● 485BPOS (FYE 5/31)	30			

# October 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
				1	2	3
4	5	6	7	8	9	10
					● N-CSR/N-CSRS (PE 7/31)	
11	12	13	14	15	16	17
Columbus Day (US) SEC Closed		● N-CEN (PE 7/31)				
18	19	20	21	22	23	24
				● 485BPOS w/XBRL (9/30)	● 485BPOS w/XBRL (10/1)	
25	26	27	28	29	30	31
● 485BPOS (FYE 6/30)	● 485BPOS (FYE 6/30)	● 485BPOS (FYE 6/30)	● 24F-2 (PE 7/31) ● 485BPOS (FYE 6/30)	● NPORT-P (8/31) ● 485BPOS (FYE 6/30)		

# November 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
1	2	3	4	5	6	7
8	9	10	11	12	13	14
<ul style="list-style-type: none"> <li>● 10-Q</li> <li>● 10-Q</li> <li>● N-CSR/N-CSRS (PE 8/31)</li> </ul>	<ul style="list-style-type: none"> <li>● NT 10-Q</li> <li>● NT 10-Q</li> </ul>	<p>Veterans Day (US) SEC Closed</p>				
15	16	17	18	19	20	21
<ul style="list-style-type: none"> <li>● 10-Q, 13-F</li> <li>● Late 10-Q, 13-F</li> <li>● Late 10-Q, 13-F</li> <li>● 13-F, N-CEN (PE 8/31)</li> </ul>	<ul style="list-style-type: none"> <li>● NT 10-Q</li> </ul>					
22	23	24	25	26	27	28
<ul style="list-style-type: none"> <li>● Late 10-Q</li> <li>● 485BPOS w/XBRL (10/31 or 11/1)</li> </ul>			<p>Thanksgiving Day (US) SEC Closed</p>			
29	30					
<ul style="list-style-type: none"> <li>● 24F-2 (PE 8/31)</li> <li>● NPORT-P (9/30)</li> <li>● 485BPOS (FYE 7/31)</li> </ul>						

# December 2020

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
		1	2	3	4	5
6	7	8	9	10	11	12
		● N-CSR/N-CSRS (PE 9/30)				
13	14	15	16	17	18	19
● N-CEN (9/30)						
20	21	22	23	24	25	26
● 485BPOS w/XBRL (11/30)	● 485BPOS w/XBRL (12/1)			Christmas Day SEC Closed		
27	28	29	30	31		
● 485BPOS (FYE 8/31)	● 485BPOS (FYE 8/31)	● 24F-2 (PE 9/30) ● NPORT-P (10/31) ● 485BPOS (FYE 8/31)	● 485BPOS (FYE 8/31)			

# January 2021

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● INVESTMENT MANAGEMENT

Sun	Mon	Tue	Wed	Thur	Fri	Sat
					1	2
					New Year's Day (US) SEC Closed	
3	4	5	6	7	8	9
10	11	12	13	14	15	16
● N-CSR/N-CSRS (PE 10/31)			● N-CEN (10/31)			
17	18	19	20	21	22	23
Martin Luther King, Jr. Day (US) SEC Closed						
24	25	26	27	28	29	30
● 485BPOS w/XBRL (12/31 or 1/1) ● 485BPOS (FYE 9/30)	● 24F-2 (PE 10/31) ● NPORT-P (11/30) ● 485BPOS (FYE 9/30)					
31						

## 2020 Deadline Highlights

Large Accelerated			
Form 10-K	Quarter One 10-Q	Quarter Two 10-Q	Quarter Three 10-Q
March 2 – Monday	May 11 – Monday	August 10 – Monday	November 9 – Monday
Accelerated			
Form 10-K	Quarter One 10-Q	Quarter Two 10-Q	Quarter Three 10-Q
March 16 – Monday	May 11 – Monday	August 10 – Monday	November 9 – Monday
Non-Accelerated			
Form 10-K	Quarter One 10-Q	Quarter Two 10-Q	Quarter Three 10-Q
March 30 – Monday	May 15 – Friday	August 14 – Friday	November 16 – Monday

*Deadlines above are based on 12/31/19 FYE*

## EDGAR Timelines and Requirements for Common SEC Form Types

### Domestic Forms

<b>Form 10-K</b>	For Large Accelerated filers - Due 60 days following the end of the fiscal year.
	For Accelerated filers - Due 75 days following the end of the fiscal year.
	For Non-Accelerated filers - Due 90 days following the end of the fiscal year.
NT 10-K	Due on the business day after the 10-K due date.
Late 10-K	After filing a timely NT 10-K, the deadline for the 10-K is extended 15 calendar days from the original 10-K due date.
Proxy Statement or 10-K/A	Proxy due dates can differ greatly, though most are filed in the spring. If your Form 10-K incorporates by reference information into Part III from the proxy statement, you must file the definitive proxy statement no later than 120 days after the fiscal-year end. If you cannot file the proxy statement within that 120-day period, you can file an amended 10-K to include the Part III information; however, that amended 10-K must be filed no later than 120 days after the fiscal-year end.
<b>Form 10-Q</b>	For Large Accelerated filers - Due 40 days following the end of the fiscal quarter.
	For Accelerated filers - Due 40 days following the end of the fiscal quarter.
	For Non-Accelerated filers - Due 45 days following the end of the fiscal quarter.
NT 10-Q	Due on the business day after the 10-Q due date.
Late 10-Q	After filing a timely NT 10-Q, the deadline for the 10-Q is extended five calendar days from the original 10-Q due date.
<b>Form 11-K</b>	Due 180 days after the end of the retirement plan year. May file in paper or EDGAR.
NT 11-K	Due on the business day after the 11-K due date.
Late 11-K	After filing a timely NT 11-K, the deadline for the 11-K is extended 15 calendar days from the original 11-K due date.
<b>Form 13F</b>	Due 45 days following the end of each fiscal quarter from institutional investment managers.

<b>Form 24F-2</b>	Due 90 days following the end of the fiscal year by investment companies.
<b>Form MA</b>	Municipal Advisory firms must renew Form MA 90 days after the end of their fiscal year.
<b>N-30D &amp; N-CSR</b>	Due to be printed and mailed 60 days following the end of each fiscal half-year by investment companies. The EDGAR filing is due ten days after the actual mailing date.
<b>N-CEN</b>	Due 75 days after the end of fiscal year for Investment Management Companies and 75 days after end of the calendar year for UITs.
<b>N-CSR</b>	Semi-Annual Report - Due to be printed and mailed 60 days following the end of each half-year by investment companies. The EDGAR filing is due ten days after the actual mailing date.
NT NCSR	Due on the business day after the N-CSR due date.
Late N-CSR	After filing a timely NT NCSR, the deadline for the N-CSR is extended 15 calendar days from the original N-CSR due date.
<b>N-PX</b>	Due no later than August 31 of each year.
<b>NPORT-P</b>	Due within 60 days after the the of the end of the quarter.
<b>Form SD</b>	Conflict minerals report, due no later than May 31st of each year.
<b>Schedule 13D</b>	Due 10 days after the acquisition of more than 5% beneficial ownership.
<b>Schedule 13G</b>	Due 45 days following the end of the calendar year.
<b>Ownership Reports</b>	
Form 3	Reporting owners must file: (a) When the registration statement is effective for new Issuers, or (b) ten business days after becoming a reporting owner of an existing Issuer.
Form 4	Due by the end of the second day after the transaction. If transaction handled by third party who exercises the option on behalf of the filer, the third party has three days to notify the filer of the transaction. The filer then must file by the end of the second day after notification.
Form 5	Due 45 days after the end of the issuer's/subject company's fiscal year.
<b>485BPOS</b>	Annual update of registration statement, due 120 days following the fiscal year end. The form applies to Open-End Mutual Funds, Annuity & Life products.
<b>486BPOS</b>	Annual update of registration statement, due 120 days following the fiscal year end. The form applies to certain Closed-End I Funds.
<b>Foreign Forms</b>	
<b>Form 20-F</b>	A foreign private issuer must file its annual report on this Form within four months after the end of the fiscal year covered by the report.
NT 20-F	Due on the business day after the 20-F due date.
Late 20-F	After filing a timely NT 20-F, the deadline for the 20-F is extended 15 calendar days from the original 20-F due date.

*For informational purposes only. All information is believed to be reliable, however, accuracy cannot be guaranteed. Do not act or rely upon the information provided without seeking the services of competent professional counsel.*

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