

A person is sitting on the edge of a large, flat rock ledge that juts out from a steep, forested cliff. The person is looking out over a vast, deep fjord. The water is a calm, light blue, and the surrounding mountains are covered in dense green forest. In the distance, more mountains are visible, some with patches of snow. The sky is a clear, deep blue.

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2022

COMPLIANCE CALENDAR

EXPAND POSSIBLE

Our commitment to you.

Proactive Partnerships: We are trusted, responsive partners. We work to understand your unique needs and create solutions around them; seeing opportunities to realize greater efficiencies and solve problems before they arise; helping navigate the ever changing business landscape. **If there is a better way to do it, we will find it.**

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2022

COMPLIANCE CALENDAR

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

When errors can lead to serious consequences, you need a partner like Toppan Merrill to ease the burden of ever-changing regulations and tight deadlines for complex filings and shareholder communications.

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 iXBRL filing, print, distribution and conferencing facilities.

Filing dates are color-coded throughout the calendar

- **NON-ACCELERATED***
- **ACCELERATED**
- **LARGE ACCELERATED**
- **FPI (FOREIGN PRIVATE ISSUER)**
- **INVESTMENT MANAGEMENT**

* Non-Accelerated includes Emerging Growth and applicable Smaller Reporting Companies

Useful SEC and EDGAR Information

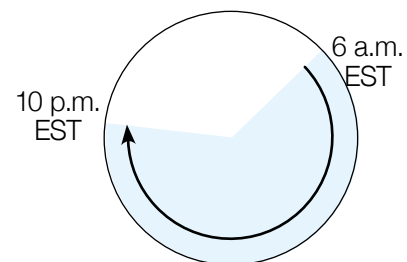
EDGAR and SEC Holidays

| | |
|-----------------------|--|
| Friday, December 31 | New Year's Day (observed) |
| Monday, January 17 | Martin Luther King, Jr. Day |
| Monday, February 21 | Presidents' Day |
| Monday, May 30 | Memorial Day |
| Monday, June 20 | Juneteenth Independence Day (observed) |
| 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 (observed) |
| Monday, January 2 | New Year's Day (observed) |

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

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

| EDGAR Filing Hours | Pacific | Mountain | Central | Eastern |
|--|------------------|------------------|------------------|------------------|
| 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

| EDGAR Filing Hours | Vancouver | Calgary | Toronto | Montreal |
|--|------------------|------------------|------------------|------------------|
| 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

| EDGAR Filing Hours | London | Paris | Frankfurt | Milan |
|--|-------------------|-------------------|-------------------|-------------------|
| 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

| EDGAR Filing Hours | Mumbai | Hong Kong | Seoul/Tokyo | Sydney |
|--|---------------------|------------------|--------------------|-------------------|
| 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 2021

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

January 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● 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 10/31) | | | ● N-CEN (10/31) | | |
| 16 | 17 | 18 | 19 | 20 | 21 | 22 |
| | Martin Luther King Day (US) SEC Closed | | | | | |
| 23 | 24 | 25 | 26 | 27 | 28 | 29 |
| 30 | 31 | | | | | |
| | ● N-PORT (11/30) ● 24F-2 (PE 10/31) ● 485BPOS (FYE 9/30) | | | | | |

February 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● 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 11/30) | | | | | |
| 13 | 14 | 15 | 16 | 17 | 18 | 19 |
| <ul style="list-style-type: none"> ● SC 13G & /A, 5 ● SC 13G & /A, 5 ● SC 13G & /A, 5 ● SC 13G & /A, 5, 13F ● N-CEN (PE 11/30) | | | | | | |
| 20 | 21 | 22 | 23 | 24 | 25 | 26 |
| Presidents' Day (US) SEC Closed | | | | | | |
| 27 | 28 | | | | | |
| <ul style="list-style-type: none"> ● 24F-2 (PE 11/30) ● 485BPOS (10/31) | | | | | | |

March 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

| Sun | Mon | Tue | Wed | Thur | Fri | Sat |
|---|--|--|--|---|-----|-----|
| | | 1 | 2 | 3 | 4 | 5 |
| | <ul style="list-style-type: none"> 10-K N-PORT (12/31) | <ul style="list-style-type: none"> NT 10-K | | | | |
| 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| | | | | <ul style="list-style-type: none"> N-30D, N-CSR/N-CSRS | | |
| 13 | 14 | 15 | 16 | 17 | 18 | 19 |
| | | <ul style="list-style-type: none"> 10-K Late 10-K N-CEN | <ul style="list-style-type: none"> NT 10-K | | | |
| 20 | 21 | 22 | 23 | 24 | 25 | 26 |
| | | | | | | |
| 27 | 28 | 29 | 30 | 31 | | |
| <ul style="list-style-type: none"> 485BPOS (FYE 11/30) | <ul style="list-style-type: none"> 485BPOS (FYE 11/30) | <ul style="list-style-type: none"> 485BPOS (FYE 11/30) | <ul style="list-style-type: none"> 10-K Late 10-K 40-F 24F-2 & MA 485BPOS (FYE 11/30) | | | |

April 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

May 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

| Sun | Mon | Tue | Wed | Thur | Fri | Sat |
|---|--|------------------------------|-----|------|-----|-----|
| 1 ● Proxy or 10-K/A ● Proxy or 10-K/A ● Proxy or 10-K/A ● 20-F ● 24F-2 (PE 1/31) | 2 ● NT 20-F | 3 | 4 | 5 | 6 | 7 |
| 8 ● N-CSR/N-CSRS (PE 2/28) | 9 ● 10-Q ● 10-Q | 10 ● NT 10-Q ● NT 10-Q | 11 | 12 | 13 | 14 |
| 15 ● 10-Q ● Late 10-Q ● Late 10-Q ● 13F (PE 3/31) ● N-CEN (2/28) | 16 ● NT 10-Q ● Late 20-F | 17 | 18 | 19 | 20 | 21 |
| 22 ● Late 10-Q | 23 | 24 | 25 | 26 | 27 | 28 |
| 29 Memorial Day (US) SEC Closed | 30 ● SD (CM) ● SD (CM) ● SD (CM) ● 24F-2 (2/28) ● N-PORT (3/31) ● 485BPOS (FYE 1/31) | 31 | | | | |

June 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

July 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

August 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

September 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

October 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

November 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

December 2022

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

January 2023

● NON-ACCELERATED ● ACCELERATED ● LARGE ACCELERATED ● FPI (FOREIGN PRIVATE ISSUER) ● INVESTMENT MANAGEMENT

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

2022 Deadline Highlights

| Large Accelerated | | | |
|----------------------|------------------|--------------------|------------------------|
| Form 10-K | Quarter One 10-Q | Quarter Two 10-Q | Quarter Three 10-Q |
| March 1 – Tuesday | May 10 – Tuesday | August 9 – Tuesday | November 9 – Wednesday |
| Accelerated | | | |
| Form 10-K | Quarter One 10-Q | Quarter Two 10-Q | Quarter Three 10-Q |
| March 16 – Wednesday | May 10 – Tuesday | August 9 – Tuesday | November 9 – Wednesday |
| Non-Accelerated | | | |
| Form 10-K | Quarter One 10-Q | Quarter Two 10-Q | Quarter Three 10-Q |
| March 31 – Thursday | May 16 – Monday | August 15 – Monday | November 14 – Monday |

Deadlines above are based on 12/31/21 FYE

EDGAR Timelines and Requirements for Common SEC Form Types

Domestic Forms

| | |
|---------------------------|--|
| Form 10-K | 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 an NT 10-K, the deadline for the 10-K is extended 15 calendar days from the 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 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. |
| Form 10-Q | 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 an NT 10-Q, the deadline for the 10-Q is extended five calendar days from the due date. |
| Form 11-K | 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 an NT 11-K, the deadline for the 11-K is extended 15 calendar days from the due date. |
| Form 13F | Due 45 days following the end of each fiscal quarter from institutional investment managers. |

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|--------------------------|--|
| Form 13D | Due 10 days after the acquisition of more than 5% beneficial ownership. |
| Form MA | Municipal Advisory firms must renew Form MA 90 days after the end of their fiscal year. |
| Form 24F-2 | Due 90 days following the end of the fiscal year by investment companies. Required in XML format effective 2/1/2022. |
| N-30D & N-CSR | 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. |
| N-CEN | Due 75 days after the end of fiscal year for Investment Management Companies and 75 days after end of the calendar year for UITs. |
| N-CSRS | 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. |
| N-PX | Due no later than August 31 of each year. |
| N-Q | Due 60 days following the end of the first and third quarter by investment companies. |
| NT NCSR | Due on the business day after the NCSR due date. |
| Late NCSR | After filing an NT NCSR, the deadline for the NCSR is extended 15 calendar days from the due date. |
| N-PORT | Due within 30 days of the end of the calendar month. |
| Form SD | Conflict minerals report, due no later than May 31st of each year. |
| Schedule 13G | Due 45 days following the end of the calendar year. |
| Ownership Reports | |
| Form 3 | Reporting owners must file: (a) When the registration statement is effective for new Issuers, or (b) ten 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. |
| 485BPOS | Annual update of Post-effective amendment, due 120 days following the fiscal year end. The form applies to Open-End Mutual Funds, Annuity & Life products. |
| 486BPOS | Annual update of Post-effective amendment, due 120 days following the fiscal year end. The form applies to Closed-End Mutual Funds. |
| Foreign Forms | |
| Form 20-F | 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 an NT 20-F, the deadline for the 20-F is extended 15 calendar days from the actual due date. |
| Form 40-F | Canadian foreign private issuers qualifying for the multi-jurisdictional disclosure system, then due the same day as the issuer's annual report is due to be filed in Canada. |

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.