

2021 SEC Filing Deadline Calendar*

Form 10-K Deadlines*

Large Accelerated Filers: March 1
(60 days after fiscal year end)

Accelerated Filers: March 16
(75 days after fiscal year end)

Non-Accelerated Filers: March 31
(90 days after fiscal year end)

* 15-day extension available with a timely Form 12b-25 filing.

Form 20-F Deadline†

Foreign Private Issuers: April 30
(4 months after fiscal year end)

† 15-day extension available with a timely Form 12b-25 filing.

Form 40-F Deadline

Canadian Foreign Private Issuers qualifying for the Multi-Jurisdictional Disclosure System:
Same day annual report is due to be filed in Canada

Form 10-Q Deadlines**

Large Accelerated Filers and Accelerated Filers: May 10, August 9, and November 9
(40 days after each quarter end)

Non-Accelerated Filers:
May 17, August 16, and November 15
(45 days after each quarter end)

** 5-day extension available with a timely Form 12b-25 filing.

Definitive Proxy Statement (DEF 14A)

(or information statement) if Part III of Form 10-K incorporates information from proxy by reference
April 30 (120 days after fiscal year end)

N-PX - August 31

N-CSR & N-CSRS - Due to be printed and mailed 60 days following end of each half year by investment companies. EDGAR filing is due 10 days after mailing date.

N-PORT - Must file each month in a fiscal quarter no later than 60 days after the end of that quarter.

N-CEN - Within 75 days of the fund's fiscal year-end (75 days after the calendar year-end for unit investment trusts).

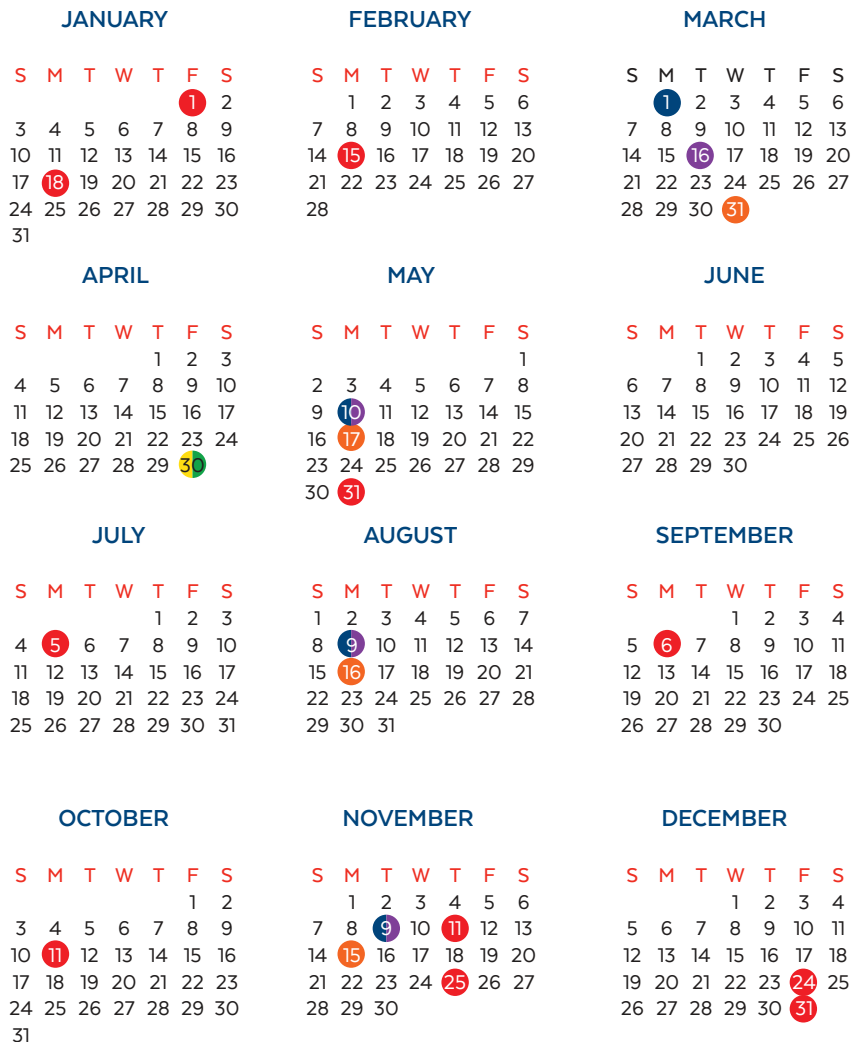
485APOS - Could file anytime, but often files 60 days or more before the regularly scheduled 485BPOS.

485BPOS - Filing deadline 120 days from the end of the fiscal year.

497 - Filing deadline 5 days after the effective date or from the date of offering to the public, whichever comes later.

EDGAR filings may be made between 6:00 a.m. and 10:00 p.m. ET on weekdays (excluding holidays). Filings submitted after 5:30 p.m. ET receive the next business day's filing date (except Section 16 filings and Rule 462(b) registration statements, which receive the actual filing date).

NYSE and NASDAQ trading hours generally are 9:30 a.m. to 4:00 p.m. ET. NYSE and NASDAQ each have rules requiring listed companies to provide them with advance notice of disclosures of material information (NYSE Listed Company Manual Section 202.06; NYSE American Company Guide, Part 4; NASDAQ Marketplace Rule 5250).



- Large Accelerated Filers
- Accelerated Filers
- Non-Accelerated Filers
- Definitive Proxy Statement
- Foreign Private Issuers
- SEC Holidays

* SEC deadlines for companies with December 31, 2020 fiscal year end. Deadlines may be calculated for companies with non-calendar year fiscal year ends using the applicable number of days after year end. When the deadline falls on a weekend or holiday, the deadline is extended to the next business day pursuant to Rule 0-3(a) under the Securities Exchange Act of 1934, as amended.

| Beneficial Ownership Filing Deadlines | |
|---------------------------------------|--|
| Form 3 | Within 10 days of becoming an officer, director, or beneficial owner of more than 10% of a class of equity securities; if the issuer is registering equity for the first time, then by the effective date of the applicable registration statement |
| Form 4 | 2 business days after the transaction date |
| Form 5 | 45 days after fiscal year end (February 16) |
| Schedule 13G | 45 days after calendar year end (February 16) |
| Schedule 13D | 10 days after acquiring more than 5% beneficial ownership; amendments are due promptly after material changes |

| Other Reporting Deadlines | |
|---------------------------|--|
| Form 8-K | 4 business days after occurrence of a triggering event |
| Form SD | No later than May 31 of each year |
| Form 13F | 45 days after calendar year end and after each of the first three quarter ends (February 16, May 17, August 16, and November 15) |
| Form 11-K | 90 days after plan's fiscal year end (March 31); plans subject to ERISA may file the plan statements within 180 calendar days after plan's fiscal year end (June 29) |