

# 2026 Compliance Calendar

## SEC Registered Investment Advisers

This calendar gives advisers a clear month-by-month view of core compliance deadlines and recurring regulatory tasks. It is meant to be a practical planning tool rather than an exhaustive list, and firms should confirm the timing and applicability of each item based on their operations.

### 01 JANUARY

#### IARD Renewal

Statement available **January 2** with final payment due January 23

#### Form 13H (Large Trader)

Annual update due within 45 days after year-end (for 2025 year-end: **February 17, 2026**).

#### Quarterly personal trading reports

Due within 30 days after quarter end.

### 02 FEBRUARY

#### Form 13F

**(Institutional investment managers)**  
Due 45 days after calendar year-end: **February 17**.

### 03 MARCH

#### Form PF (Large Hedge Fund Advisers)

Quarterly filing due 60 days after Q4: **March 1**.

#### Form ADV Annual Updating Amendment

Due by **March 31** (90 days after December 31 fiscal year-end).

### 04 APRIL

#### Brochure delivery to clients (Form ADV Part 2A/2B)

Within 120 days of fiscal year-end: **April 30**.

#### Form PF (Annual filers — Private Equity/ Real Estate advisers)

Due **April 30**.

#### Quarterly personal trading reports

Due within 30 days after quarter end.

### 05 MAY

#### Form 13F (Q1 holdings)

Due 45 days after Q1 end: **May 15**.

### 06 JUNE

#### Regulation S-P / Privacy Notices

Many firms target **June** for annual delivery, depending on policy.

### 07 JULY

#### Quarterly personal trading reports

Due within 30 days after quarter end.

### 08 AUGUST

#### Form 13F (Q2 holdings)

Due 45 days after Q2 end: **August 14**.

#### Form N-PX

Due **August 31**; report proxy votes for the 12 months ending June 30 (applicable to managers that file Form 13F).

### 09 SEPTEMBER

#### Annual Compliance Review (Rule 206(4)-7)

Must be completed no less frequently than annually; many RIAs complete this by end of Q3.

### 10 OCTOBER

#### Organize year end activities

such as compliance trainings and service provider reviews.

#### Quarterly personal trading reports

Due within 30 days after quarter end.

### 11 NOVEMBER

#### FINRA / IARD Renewal Program

Preliminary Statement posts around **November 10**; recommended payment submission by **December 3**; funds due by **December 8**; last day to submit filings before year-end processing is **December 26**.

#### Form 13F (Q3 holdings)

Due 45 days after Q3 end: **November 16**

### 12 DECEMBER

#### IARD Renewal processing window

Ensure renewal fees are in E-Bill/Renewal Account by **December 8** and all filings submitted by **December 26** to avoid lapse on **January 1**.

**Fiscal Year-End: December 31.** Disclaimer: This calendar is for general informational purposes only and does not represent a comprehensive list of all regulatory obligations applicable to investment advisers. Additional federal, state, exchange, or contractual requirements may apply based on your firm's registration status, business activities, or client base.