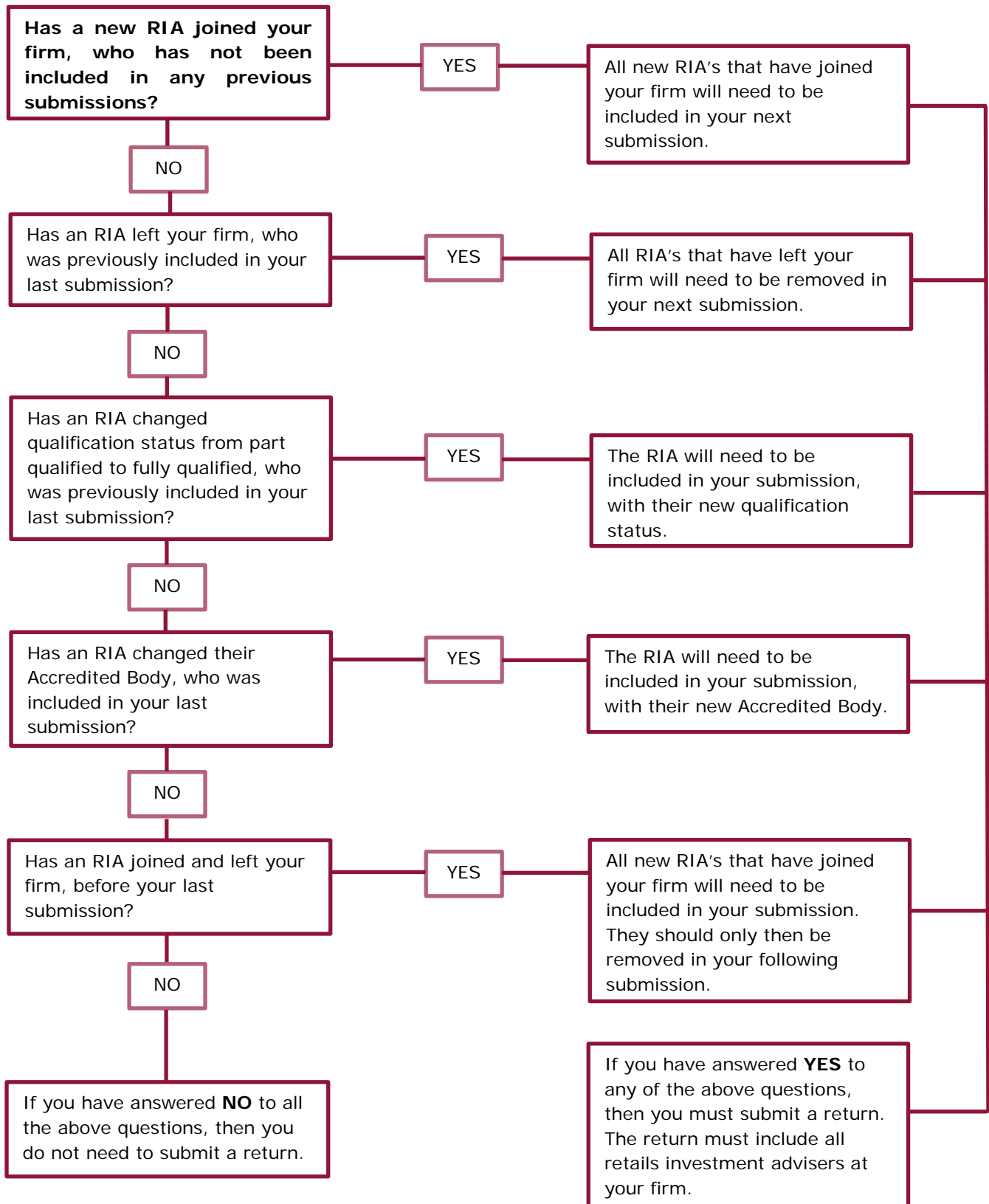


What changes need to be reported for Retail Investment Advisers (RIA) at your firm?



Reporting periods

Please see below reporting period dates:

Quarter	Reporting period	Last date to submit changes
1	01 Jan – 31 Mar	Within 20 business days of 31 March
2	01 Apr – 30 Jun	Within 20 business days of 30 June
3	01 Jul – 30 Sep	Within 20 business days of 30 September
4	01 Oct – 31 Dec	Within 20 business days of 31 December