Broadridge

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EDGAR filing calendar

2027 SEC filing deadlines and holidays

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SEC deadlines*

Reporting period	Large accelerated	Accelerated	Non-accelerated
FY-2026 10-K	March 1, 2027	March 16, 2027	March 31, 2027
FY-2026 NT 10-K	March 2, 2027	March 17, 2027	April 1, 2027
FY-2026 LATE 10-K	March 16, 2027	March 31, 2027	April 15, 2027
FY-2026 PROXY OR 10-K/A	April 30, 2027	April 30, 2027	April 30, 2027
Q1-2027 10-Q	May 10, 2027	May 10, 2027	May 17, 2027
Q1-2027 NT 10-Q	May 11, 2027	May 11, 2027	May 18, 2027
Q1-2027 LATE 10-Q	May 17, 2027	May 17, 2027	May 24, 2027
FY-2026 11-K	June 29, 2027	June 29, 2027	June 29, 2027
FY-2026 NT 11-K	June 30, 2027	June 30, 2027	June 30, 2027
FY-2026 LATE 11-K	July 14, 2027	July 14, 2027	July 14, 2027
Q2-2027 10-Q	August 9, 2027	August 9, 2027	August 16, 2027
Q2-2027 NT 10-Q	August 10, 2027	August 10, 2027	August 17, 2027
Q2-2027 LATE 10-Q	August 16, 2027	August 16, 2027	August 23, 2027
Q3-2027 10-Q	November 9, 2027	November 9, 2027	November 15, 2027
Q3-2027 NT 10-Q	November 10, 2027	November 10, 2027	November 16, 2027
Q3-2027 LATE 10-Q	November 15, 2027	November 15, 2027	November 22, 2027
FY-2027 10-K	February 29, 2028	March 15, 2028	March 30, 2028
FY-2027 NT 10-K	March 1, 2028	March 16, 2028	March 31, 2028
FY-2027 LATE 10-K	March 15, 2028	March 30, 2028	April 14, 2028
FY-2027 PROXY OR 10-K/A	May 1, 2028	May 1, 2028	May 1, 2028

SEC deadline guidance

	Large accelerated	Accelerated	Non-accelerated
10-K	60 days from year-end	75 days from year-end	90 days from year-end
NT 10-K	15 day extension	15 day extension	15 day extension
10-Q	40 days from quarter-end	40 days from quarter-end	45 days from quarter-end
NT 10-Q	5 day extension	5 day extension	5 day extension

* Dates assume a 12/31 fiscal year end. All deadlines and deadline extensions shown in calendar days.

SEC holidays

Date	Holiday
January 1, 2027	New Year's Day
January 18, 2027	Birthday of Martin Luther King, Jr.
February 15, 2027	Washington's Birthday
May 31, 2027	Memorial Day
June 18, 2027	Juneteenth National Independence Day (observed)
July 5, 2027	Independence Day (observed)
September 6, 2027	Labor Day
October 11, 2027	Columbus Day
November 11, 2027	Veterans Day
November 25, 2027	Thanksgiving Day
December 24, 2027	Christmas Day (Observed)

Foreign private issuers	
FY-2026 20-F	April 30, 2027
FY-2026 20-F NT	May 3, 2027
FY-2026 LATE 20-F	May 17, 2027
FY-2027 20-F	May 1, 2028
FY-2027 20-F NT	May 2, 2028
FY-2027 LATE 20-F	May 16, 2028

Investment manager deadlines			
4Q-2026 13-F	February 16, 2027	**3Q-2027 13-F**	November 15, 2027
1Q-2027 13-F	May 17, 2027	**4Q-2027 13-F**	February 14, 2028
2Q-2027 13-F	August 16, 2027		

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SEC general filing deadlines

Large accelerated filers

- **Form 10-K** due 60 days after fiscal year-end.
- **NT 10-K** due on the business day after the 10-K due date.
- **Late 10-K** due after filing an NT 10-K, the deadline for the 10-K is extended 15 calendar days from actual due date.
- **Form 10-Q** due 40 days after quarter-end.
- **NT 10-Q** due on the business day after the 10-Q due date.
- **Late 10-Q** due after filing an NT 10-Q, the deadline for the 10-Q is extended 5 calendar days from actual due date.
- **Form 11-K** due 180 days after retirement plan year-end.
- **NT 11-K** due on the business day after the 11-K due date.
- **Late 11-K** due after filing an NT 11-K, the deadline for the 11-K is extended 15 calendar days from the actual due date.

Accelerated filers

- **Form 10-K** due 75 days after fiscal year-end.
- **NT 10-K** due on the business day after the 10-K due date.
- **Late 10-K** due after filing an NT 10-K, the deadline for the 10-K is extended 15 calendar days from actual due date.
- **Form 10-Q** due 40 days after quarter-end.
- **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 5 calendar days from actual due date.
- **Form 11-K** due 180 days after retirement plan year-end.
- **NT 11-K** due on the business day after the 11-K due date.
- **Late 11-K** due after filing an NT 11-K, the deadline for the 11-K is extended 15 calendar days from actual due date.

Non-accelerated filers

- **Form 10-K** due 90 days after fiscal year-end.
- **NT 10-K** due on the business day after the 10-K due date.
- **Late 10-K** due after filing a NT 10-K, the deadline for the 10-K is extended 15 calendar days from actual due date.
- **Form 10-Q** due 45 days after end of quarter-end.
- **NT 10-Q** due on the business day after the 10-Q due date.
- **Late 10-Q** due after filing a NT 10-Q, the deadline for the 10-Q is extended 5 calendar days from actual due date.
- **Form 11-K** due 180 days after retirement plan year-end.
- **NT 11-K** due on the business day after the 11-K due date.
- **Late 11-K** due after filing a NT 11-K, the deadline for the 11-K is extended 15 calendar days from actual due date.

Foreign forms

- **Form 20-F** due 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 NT-20F, the deadline for the 20-F is extended 15 calendar days from actual due date.

Proxy statements

- Definitive proxy statement (or information statement) is due 120 days after year-end if Part III of Form 10-K incorporates information from proxy by reference.

Section 16 beneficial ownership forms

- **Form 3** due 10 days after becoming a director, officer, or beneficial owner of more than 10% of a class of equity securities (no later than the effective date of the registration statement if the issuer is registering equity for the first time).
- **Form 4** due 2 business days after the transaction date in which a company insider trades registered securities.
- **Form 5** due on or before 45th day after the end of the issuer's fiscal year.

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Other deadlines

- **Form 8-K** due 4 business days after the occurrence of a triggering event.
- **Form SD** due no later than May 31 of each year.
- **Form 11-K** due 90 days after the employee plans fiscal year end; if the employee plan is subject to ERISA, then 180 days after the employee plan's fiscal year end.
- **Form 40-F** for 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.

Investment management

- **Form N-CEN** reports are due within 75 days of a registered investment company's fiscal year-end. This applies to all funds, except for unit investment trusts (UITs). A fund with multiple series with different fiscal year ends must file a separate report for each series with the same fiscal year-end. UITs must file one Form N-CEN within 75 days of the calendar year-end.
- **Form N-30D** and **N-CSR** are due to be printed and mailed within 60 days following the end of each half-year by investment companies. The EDGAR filing is due within 10 days after the actual mailing date.
- **Form N-PX** reports must be filed by August 31 each year covering the most recent 1-year period from July 1 - June 30.
- **NT- NCSR** submitted to notify the SEC of a late N-CSR filing and due no later than 1 business day after the actual due date.
- **Schedule 13D** beneficial ownership report is due within 5 business days of acquiring more than 5% of beneficial ownership or losing eligibility to file on Schedule 13G.
- **Schedule 13G** beneficial ownership report for Qualified Institutional Investors (QIIs) and Exempt Investors is due 45 calendar days after calendar quarter-end in which beneficial ownership exceeds 5%; five business days after month-end in which beneficial ownership exceeds 10%. For Passive Investors, the due date is 5 business days after acquiring beneficial ownership of more than 5%.
- **Form 13F** must be filed quarterly by institutional investment managers with at least $100 million in assets under management within 45 days after the close of December, or by February 14 of the following calendar year.
- **Form 24F-2** must be filed annually with the SEC by open-end management companies, face-amount certificate companies, and unit investment trusts (UITs) within 90 days of the end of the fiscal year the company offered securities.
- **Form N-PORT** reports are required for registered investment companies and exchange-traded funds (ETFs) organized as unit investment trusts (UITs) and must be filed no later than 60 days after the conclusion of the fiscal quarter.
- **Form N-MFP** must be filed monthly by money market funds to provide information about portfolio holdings (Monthly Schedule of Portfolio Holdings) for the preceding month and due within 5 business days after the end of each month.

Filer status

Large accelerated filer: A reporting company that has a public float of $700 million or more, has been subject to the periodic reporting requirements of the Securities Exchange Act of 1934 ("1934 Act") for at least 12 months and has filed at least one annual report.

Accelerated filer: A reporting company that has a public float of $75 million or more but less than $700 million and revenues of $100 million or more, has been subject to the periodic reporting requirements of the 1934 Act for at least 12 months and has filed at least one annual report.

Non-accelerated filer: A reporting company that has no public float or public float of less than $75 million or has a public float of $75 million or more but less than $700 million and annual revenues of less than $100 million, has not been subject to the periodic reporting requirements of the 1934 Act for more than 12 months or has not filed at least one annual report.

Smaller reporting company: A reporting company that has (i) a public float of less than $250 million or (ii) annual revenues of less than $100 million and has no public float or public float of less than $700 million.

Public float is measured at end of second fiscal quarter, with any change in filing status taking effect as of the next fiscal year.

For more information, contact us at 877-432-3342 or visit Broadridge.com

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Other reminders and filing information

EDGAR hours of operation for submitting files are 6:00 a.m. to 10:00 p.m. Eastern, weekdays, excluding SEC Federal Holidays. Files submitted after 5:30 p.m. Eastern will receive the next business day's filing date. Section 16 filings (Forms 3, 4, 5), SC 13D, SC 13G, and Form 144 filed by 10:00 pm Eastern Time will receive the date of the actual filing. The EDGAR system is not in operation on weekends. If a due date falls on a weekend or SEC holiday, the filing is due the following business day.

SEC filing hours

Today's date: 6:00 AM – 5:30 PM ET
Tomorrow's date: 5:31 PM – 10:00 PM ET
Today's date: 6:00 AM – 10:00 PM ET for Section 16 (Forms 3, 4, and 5), SC 13D, SC 13G, and Form 144

Companies may request a filing extension for their Form 10-Qs and 10-Ks by submitting Form 12b-25 via the EDGAR system. By filing this form, a filer may gain up to 5 additional days to file Form 10-Q or 15 days to file Form 10-K. Companies have up to 24 hours after the original filing deadline to file Form 12b-25.

Definition of SEC Form NT 10-Q: A filing with the Securities and Exchange Commission (SEC) that a company must submit when it is unable to file its 10-Q on time. After submission of the SEC Form NT 10-Q, the company must then file its 10-Q within 5 days. The 10-Q is a quarterly report that provides quarterly financial results. Form NT 10-Q is covered under SEC Rule 12b-25 of the Securities Exchange Act. Related filings include 10-Q, 10-QSB, and 10-QT.

Definition of SEC Form NT 10-K: A filing with the SEC that a company must submit when it is unable to file its 10-K on time. After submission of the SEC Form NT 10-K, the company must then file its 10-K within 15 days. The 10-K is an annual report that provides a comprehensive overview of the company's business activities. Form NT 10-K is covered under SEC Rule 12b-25 of the Securities Exchange Act. Related filings include 10-K405, 10-K, 10-KSB405 and 10-KSB.

SEC contact information

Filer support	**202-551-8900**	
Filing fees branch	Option # 1	
EDGAR technical support	Option # 3	
EDGAR filer support for Corporation Finance	Option # 4	
Division of Investment Management	Option # 5	
Office of Structured Disclosure (OSD)	**202-551-5494**	StructuredData@SEC.gov
SEC mailing address	SEC Headquarters 100 F Street, NE Washington, DC 20549	*Note: Paper filings should be submitted to the SEC Headquarters address, not to the Operations Center.*
SEC filer support hours of operation	**9:00 A.M. TO 5:30 P.M. Eastern time weekdays, excluding federal holidays**	

To apply for EDGAR access codes (CIK and CCC), visit FilerManagement.EDGARfiling.SEC.gov.

Please consult legal or general counsel to confirm what form types are needed. All information is from sources believed to be dependable; however, accuracy cannot be guaranteed. Do not act or rely upon the information and advice provided within this document without seeking the services of competent professional counsel.

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