



2021 SEC EDGAR FILING CALENDAR - DEADLINES AND HOLIDAYS

SEC DEADLINES BASED ON A DECEMBER 31, 2020 FISCAL YEAR END:

| FORM TYPE | LARGE ACCELERATED FILERS | ACCELERATED FILERS | NON-ACCELERATED FILERS |
|--|---|---|---|
| Form 10-K (Period ended December 31, 2020) | Monday, March 1 (60 days from year end) | Tuesday, March 16 (75 days from year end) | Wednesday, March 31 (90 days from year end) |
| Form NT 10-K (Form 12b-25) (1 day after filing due date) | Tuesday, March 2 | Wednesday, March 17 | Thursday, April 1 |
| Form 10-K (with 15 day extension) | Tuesday, March 16 | Wednesday, March 31 | Thursday, April 15 |
| Form 20-F (Foreign Private Issuers) | Monday, May 3 (4 months from year end) | Monday, May 3 (4 months from year end) | Monday, May 3 (4 months from year end) |
| Form NT 20-F (1 day after filing due date) | Tuesday, May 4 | Tuesday, May 4 | Tuesday, May 4 |
| Form 20-F (with 15 day extension) | Tuesday, May 18 | Tuesday, May 18 | Tuesday, May 18 |
| Form 10-Q (Period ended March 31, 2021) | Monday, May 10 (40 days from quarter end) | Monday, May 10 (40 days from quarter end) | Monday, May 17 (45 days from quarter end) |
| Form NT 10-Q (Form 12b-25) (1 day after filing due date) | Tuesday, May 11 | Tuesday, May 11 | Tuesday, May 18 |
| Form 10-Q (with 5 day extension) | Monday, May 17 | Monday, May 17 | Monday, May 24 |
| Form 10-Q (Period ended June 30, 2021) | Monday, August 9 (40 days from quarter end) | Monday, August 9 (40 days from quarter end) | Monday, August 16 (45 days from quarter end) |
| Form NT 10-Q (Form 12b-25) (1 day after filing due date) | Tuesday, August 10 | Tuesday, August 10 | Tuesday, August 17 |
| Form 10-Q (with 5 day extension) | Monday, August 16 | Monday, August 16 | Monday, August 23 |
| Form 10-Q (Period ended September 30, 2021) | Tuesday, November 9 (40 days from quarter end) | Tuesday, November 9 (40 days from quarter end) | Monday, November 15 (45 days from quarter end) |
| Form NT 10-Q (Form 12b-25) (1 day after filing due date) | Wednesday, November 10 | Wednesday, November 10 | Tuesday, November 16 |
| Form 10-Q (with 5 day extension) | Monday, November 15 | Monday, November 15 | Monday, November 22 |

INVESTMENT MANAGER DEADLINES:

(45 days after calendar year end and

45 days after each of the first three calendar quarters end)

| FORM TYPE | DUE DATE |
|-------------|----------------------|
| Form 13F-HR | Tuesday, February 16 |
| Form 13F-HR | Monday, May 17 |
| Form 13F-HR | Monday, August 16 |
| Form 13F-HR | Monday, November 15 |

THE SEC IS CLOSED FOR THE FOLLOWING HOLIDAYS:

| HOLIDAY | DATE |
|----------------------------------|-----------------------|
| New Year's Day | Friday, January 1 |
| Martin Luther King, Jr. | Monday, January 18 |
| Washington's Birthday | Monday, February 15 |
| Memorial Day | Monday, May 31 |
| Independence Day (Observed) | Monday, July 5 |
| Labor Day | Monday, September 6 |
| Columbus Day | Monday, October 11 |
| Veterans Day | Thursday, November 11 |
| Thanksgiving Day | Thursday, November 25 |
| Christmas Day (Observed) | Friday, December 24 |
| New Year's Day (2022) (Observed) | Friday, December 31 |

LARGER TRADER REGISTRATION DEADLINES:

| FORM TYPE | DUE DATE |
|-----------|----------------------|
| Form 13H* | Tuesday, February 16 |

OTHER FORM TYPES AND DUE DATES:

| | |
|------------------------|---|
| Form 3 | 10 days after the individual becomes a reporting person |
| Form 4 | 2 business days after the transaction date |
| Form 5 | 45 days after Issuer's fiscal year end |
| Form 8-K | 4 business days |
| Schedule 13D | 10 days after the acquisition of more than 5% beneficial ownership; amendments are due promptly after material changes |
| Schedule 13G | 45 days after fiscal year end |
| N-CEN (formerly N-SAR) | All registered investment companies, other than face-amount certificate companies – 75 days after fiscal year end. Unit investment trusts – 75 days after calendar year end |
| N-CSR | Due to be printed and mailed 60 days following the end of each half year by investment companies. EDGAR filing is due 10 days after the mailing date |
| N-PORT (formerly N-Q) | All registered management investment companies or an exchange-traded fund organized as a unit investment trust (other than a money market fund/small business investment company) – 30 days after the end of each month |
| N-PX | Due no later than August 31 st |

For additional information, please contact us directly at 954-461-5769 or email us directly at info@borerfinancial.com

PLEASE SEE THE SEC FILING FORMS SECTION OF OUR WEBSITE FOR A COMPLETE LIST OF DOWNLOADABLE FORMS

*Amendments to Form 13H must be filed promptly following the end of a calendar quarter in which any of the information contained in a Form 13H filing becomes inaccurate for any reason. For example, a name change, business address or organization type change.