Financial Industry Regulatory Authority

IARD

Form ADV Part 2

About Form ADV Part 2

Part 2 is the section of Form ADV that contains information about Investment Adviser firms and the type of business they conduct. Firms are required to provide Part 2 of Form ADV to existing and prospective clients. All SEC-registered and some state-registered Investment Adviser firms are required to submit Part 2 of Form ADV online through the IARD™ system.

A firm that offers substantially different types of advisory services has the option to prepare separate brochures for each service, as long as, each client receives all information about the services and fees that are applicable to that client.

Brochures submitted by the firm will display in IAPD the following day. IAPD will only display brochures with a Brochure Jurisdiction Status of Delivered or Accepted.

For purposes of the IARD system, Part 2 of the Form ADV is referred to as the "Brochure." The brochure is uploaded as an attachment to Form ADV during the form filing submission process. The brochure must be converted to a text-searchable, PDF file before submission to the IARD system.

Access IARD at **https://crd.finra.org/iad**.

Content:

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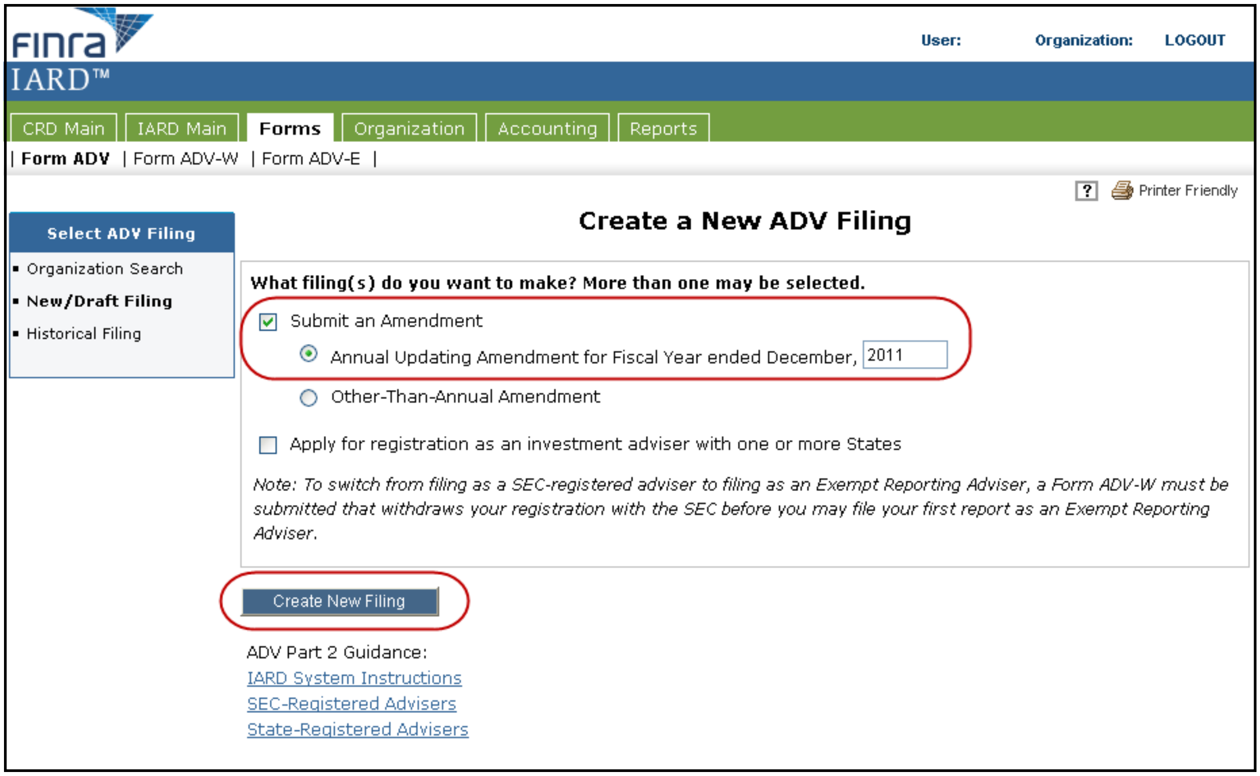
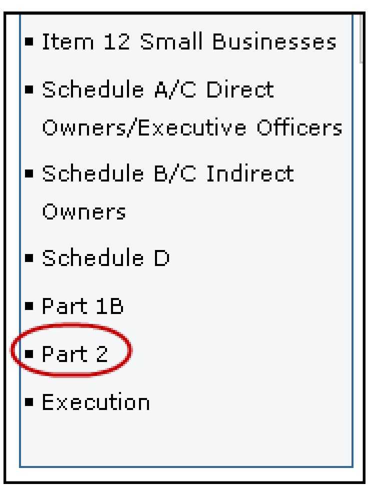
Questions on IARD? Call the IARD Hotline at **240-386-4848**
8 A.M. - 8 P.M., ET, Monday through Friday.

Access Form ADV

Access the appropriate Form ADV filing type.



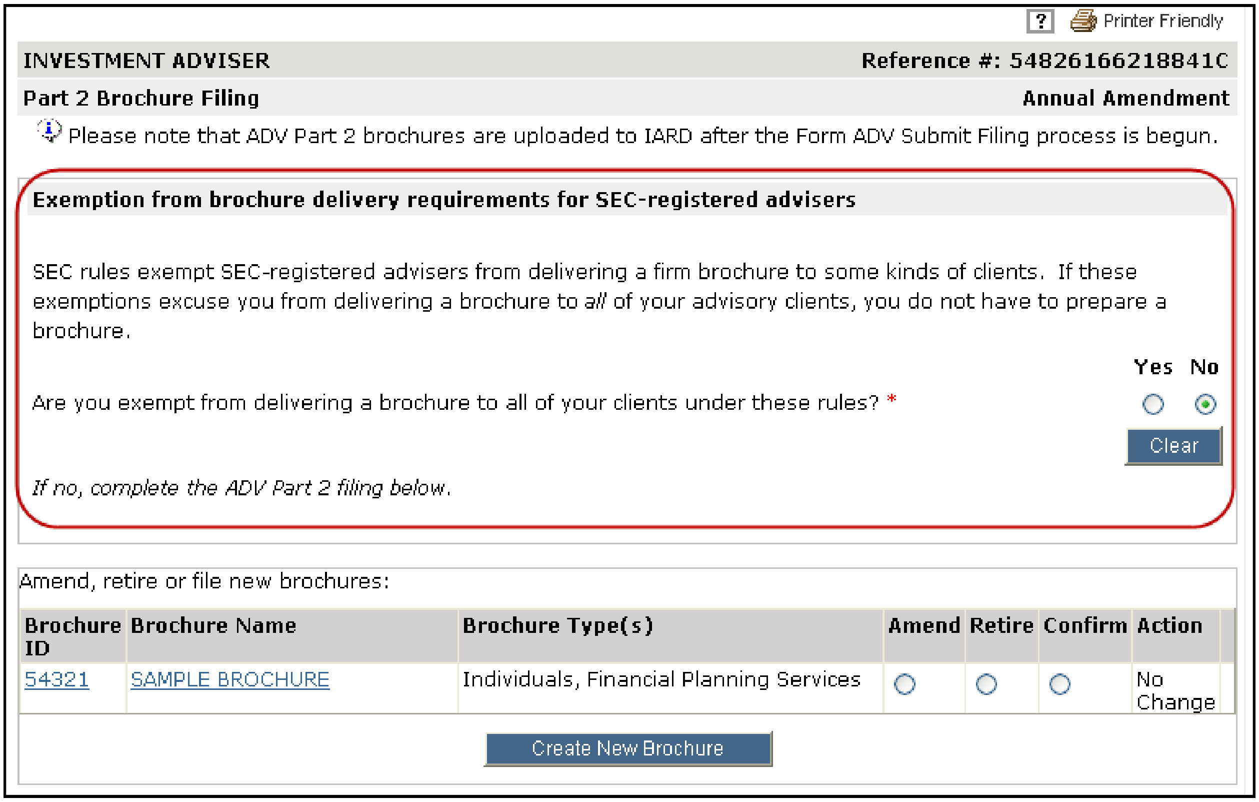
Select the **Part 2** hyperlink located in the navigation panel on the left.



Part 2 Brochure Filing Page

The Exemption from Brochure Delivery Requirements for SEC Registered Advisers section will only display for firms registered with or applying for registration with the SEC. This question must be answered Yes or No.

If applicable, a list of previously submitted brochures will display, with the option to amend, retire, or confirm the existing brochure. The Confirm radio button is only available on an Annual Amendment filing.


? Printer Friendly

INVESTMENT ADVISER — **Reference #: 54826166218841C**

Part 2 Brochure Filing — **Annual Amendment**

Please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun.

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules? * — **Yes** **No**

Clear

If no, complete the ADV Part 2 filing below.

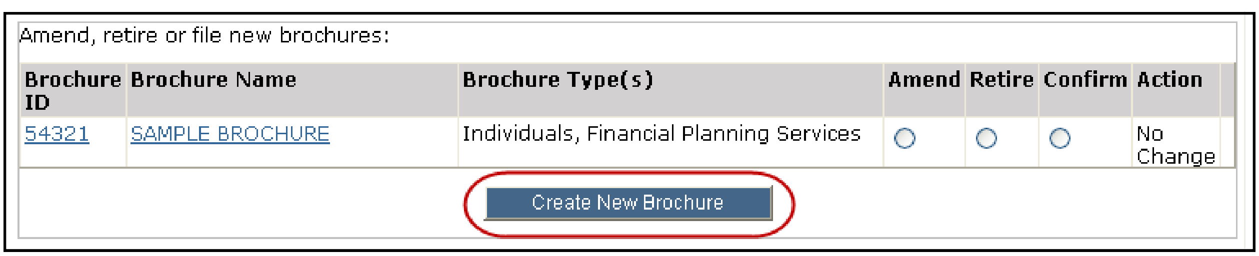
Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Amend	Retire	Confirm	Action
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services				No Change

Create New Brochure

Upload a New Brochure

Click the **Create New Brochure** button to begin entering information about your firm’s brochure.


Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Amend	Retire	Confirm	Action
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services				No Change

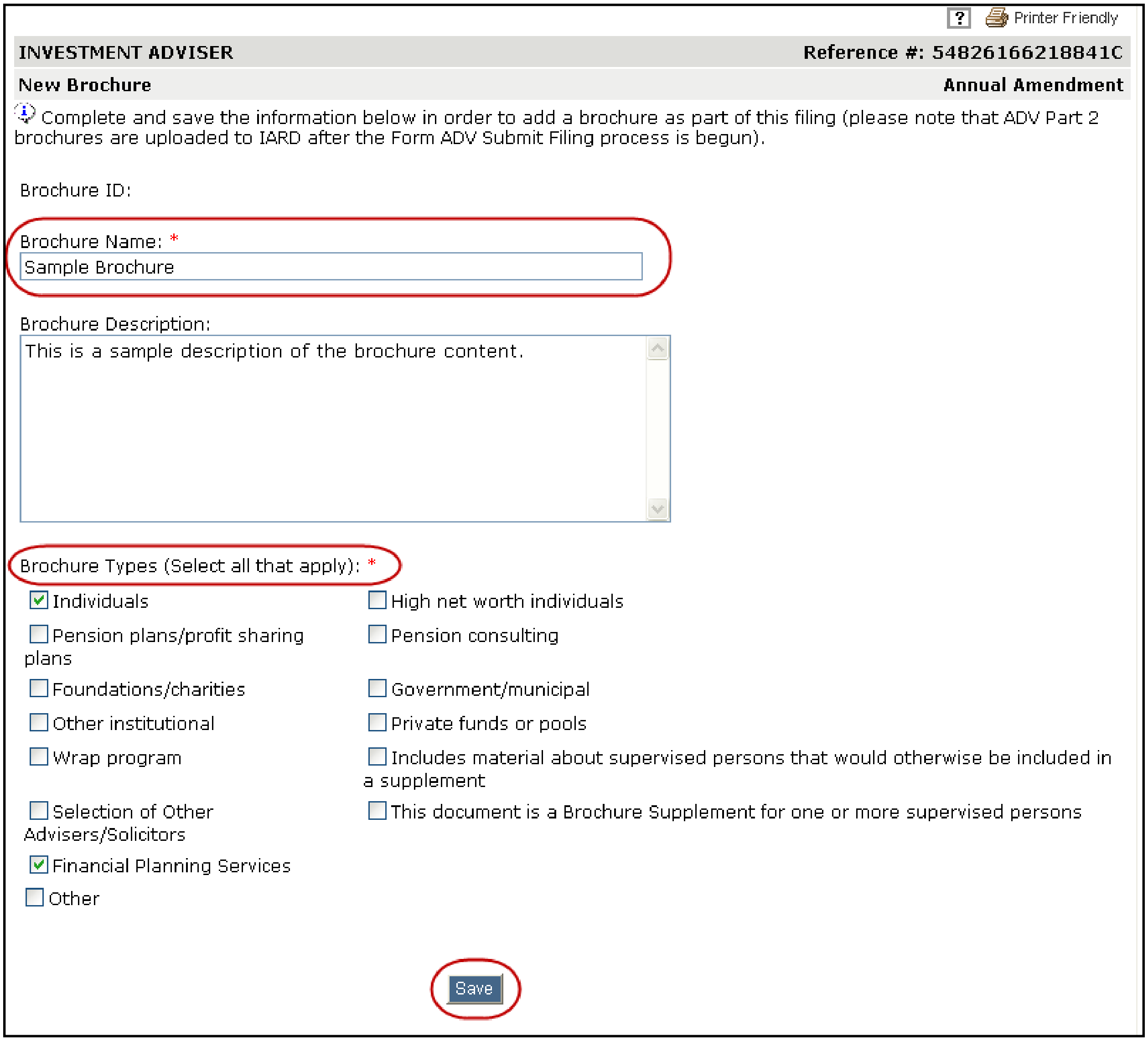
Create New Brochure

Upload a New Brochure (Continued)

Complete the **Brochure Name** and **Brochure Type** fields. Brochure Description is an optional field where you may enter a brief description regarding the content of your brochure.

After clicking the **Save** button an additional pop-up message will display if the firm does not already have a brochure in the IARD system to clarify when brochures are attached and processed as part of the filing.

Return to the Part 2 Brochure Filing page by selecting **Part 2** from the navigation panel.



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INVESTMENT ADVISER **Reference #: 54826166218841C**

New Brochure **Annual Amendment**

Complete and save the information below in order to add a brochure as part of this filing (please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun).

Brochure ID:

Brochure Name: *
Sample Brochure

Brochure Description:
This is a sample description of the brochure content.

Brochure Types (Select all that apply): *

- [x] Individuals
- [ ] High net worth individuals
- [ ] Pension plans/profit sharing plans
- [ ] Pension consulting
- [ ] Foundations/charities
- [ ] Government/municipal
- [ ] Other institutional
- [ ] Private funds or pools
- [ ] Wrap program
- [ ] Includes material about supervised persons that would otherwise be included in a supplement
- [ ] Selection of Other Advisers/Solicitors
- [ ] This document is a Brochure Supplement for one or more supervised persons
- [x] Financial Planning Services
- [ ] Other

Save

Upload a New Brochure (Continued)

Prior to submission, firm users have the option to delete a new brochure by selecting the **Delete** hyperlink and then clicking **OK** when the following message displays: "Are you sure you want to delete this brochure?"

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Amend	Retire	Confirm	Action	
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services	○	○	○	No Change	
-	SAMPLE BROCHURE	Individuals, Financial Planning Services	○	○	○	New	Delete

Create New Brochure

Brochures are uploaded as part of the submission process. All Completeness Checks must be passed before the system will allow you to upload a file.

Once you are ready to submit the Form ADV filing, click **Submit Filing** from the navigation panel. If applicable, clear all errors on the filing and click **Submit Filing** again.

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Submission
- Completeness Check
- **Submit Filing**
- Print Preview

Form ADV
- Instructions
- Item 1 Identifying Information
- Item 2 SEC Registration/Reporting
- Item 3 Form of Organization
- Item 4 Successions
- Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation
- Item 5 Information About Your Advisory Business - Regulatory Assets Under Management

INVESTMENT ADVISER — **Reference #: 54826166218841C**

Submit Filing — **Annual Amendment**

⚠ Item 1.J. contains a contact employee e-mail address that you have not confirmed. After you submit this filing, FINRA will automatically send, to that address, a request to confirm the validity of the address. [Click here for an example of what that confirmation request will look like.] If you confirm the e-mail address, you will receive at that address important notifications of regulatory developments and reminders about filing annual updates to your Form ADV. If you do not confirm the contact employee e-mail address, you will not receive these important messages.

⚠ Please double-check the contact employee information you have provided in Item 1.J., especially the contact employee e-mail address, to ensure that it is current. You are required to amend this information promptly if it becomes inaccurate in any way.

⚠ Please double-check the chief compliance officer information you have provided in Item 1.J., especially the chief compliance officer e-mail address, to ensure that it is current. You are required to amend this information promptly if it becomes inaccurate in any way.

⚠ No information was provided in Schedule D Section 7.A regarding the types of related persons selected in Item 7.A. Please verify that a Schedule D Section 7.A entry is not needed.

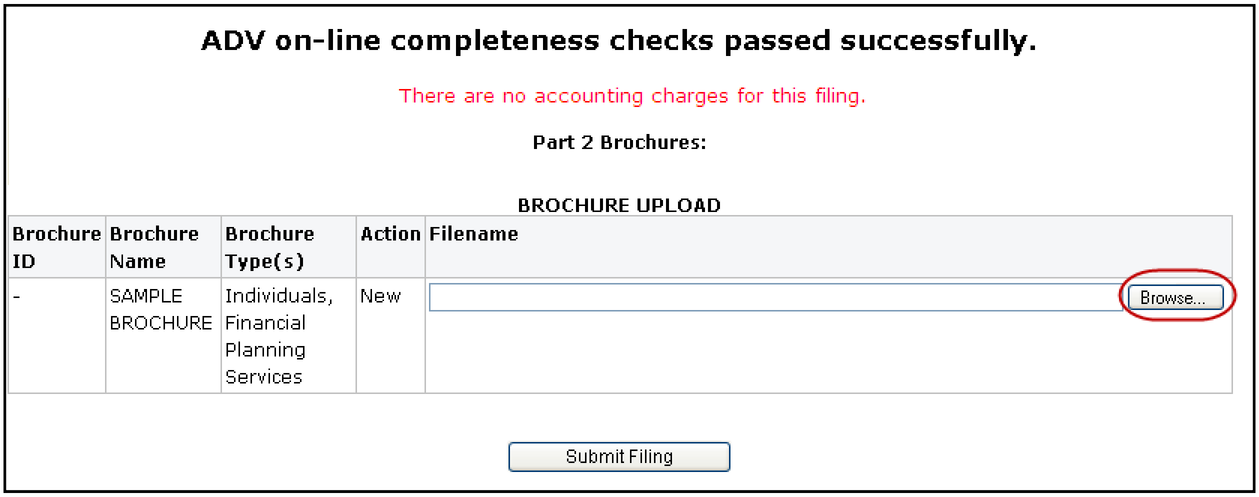
⚠ Reminder: Passing a completeness check does not relieve an investment adviser of its legal and regulatory obligation to file accurate and complete information in a timely manner with the appropriate authorities.

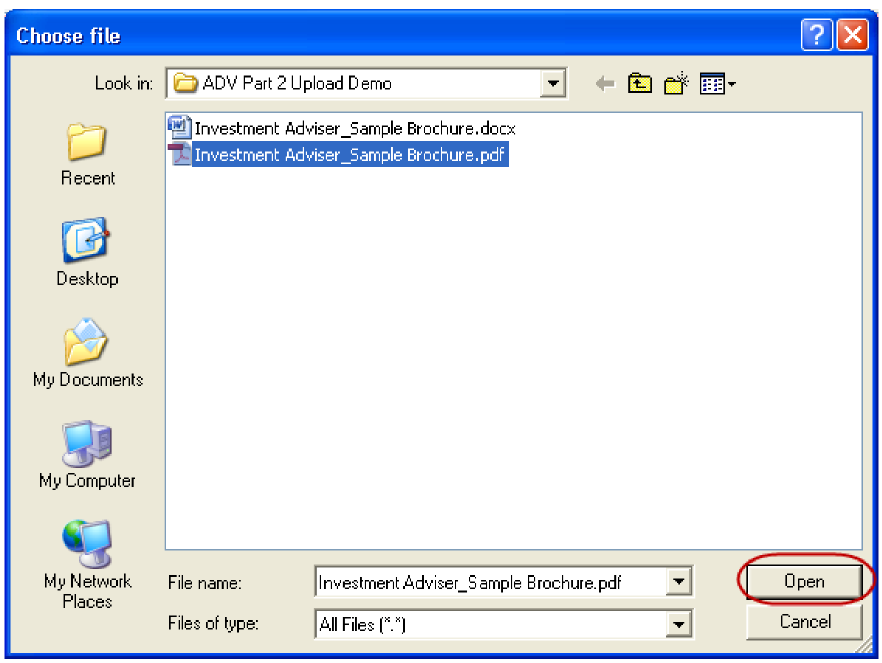
This filing cannot be submitted, due to the following completeness errors:

Error Location	Error Description
Domestic Investment Adviser Execution Page	The Domestic Execution page is required when the Principal Office and Place of Business is within the United States.
Part 1B - State Registered Adviser Execution Page	State-Registered Adviser Execution page is required.

Upload a New Brochure (Continued)

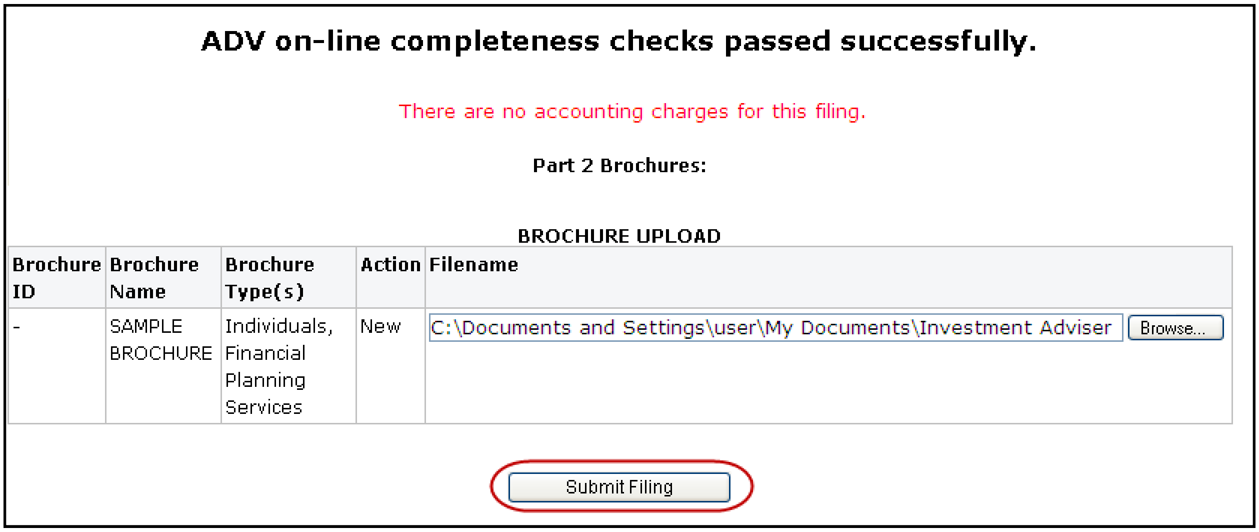
Click the **Browse** button on the submission screen and locate the brochure file on your computer. Brochures must be in PDF format and must be text-searchable.





Upload a New Brochure (Continued)

Click the **Submit Filing** button to submit your Form ADV filing and upload the attached brochure.



The following warning message displays after the Submit Filing button has been clicked:

Upload Error Message

Brochures must be in PDF format and must be text-searchable. Files that are scanned to PDF format may not contain searchable text, as scanners generally capture an image of a document. To ensure the file be text-searchable, the scanner must have the Optical Character Recognition (OCR) turned on.

Additionally, files that are locked or password protected will also inhibit the system's ability to search for text. All security on the PDF file must be removed in order to upload the PDF file.

If the file does not meet the PDF and text-searchable requirement, the error message below will display.

PROBLEMS ENCOUNTERED DURING BROCHURE UPLOAD

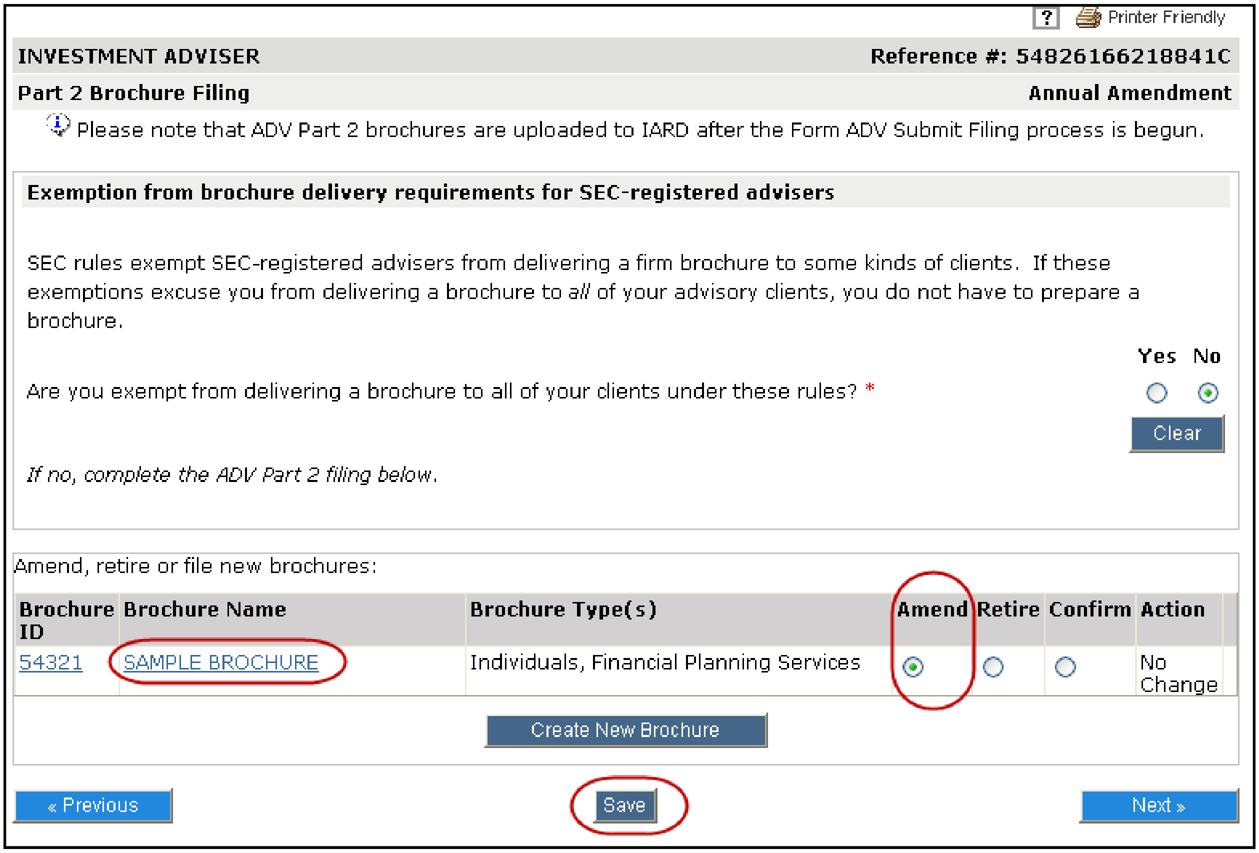
Brochure Name	Error Description
SAMPLE BROCHURE	This brochure does not contain searchable text. The IARD does not accept files that are imaged in their entirety, such as a file containing a scanned version of a paper brochure

For technical assistance uploading your brochure, please call the IARD Hotline, 240-386-4848.

Amend a Brochure

The Amend brochure option allows a firm to update their Brochure Name, Brochure Description, and Brochure Type for a brochure that is already on file.

To upload an updated version of a brochure, access the appropriate Form ADV amendment filing. From the Part 2 Brochure Filing page, select the **Amend** radio button. And, If applicable, click the Brochure Name hyperlink to update the brochure's name, type, and description.



? Printer Friendly

INVESTMENT ADVISER — **Reference #: 54826166218841C**

Part 2 Brochure Filing — **Annual Amendment**

Please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun.

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules? * — Yes / No

Clear

If no, complete the ADV Part 2 filing below.

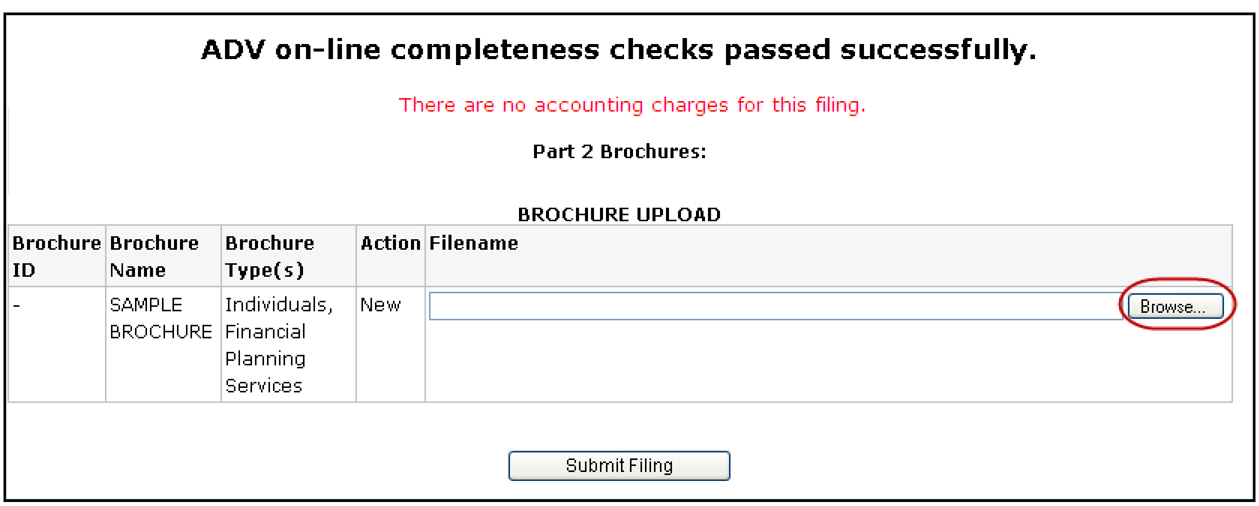
Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Amend	Retire	Confirm	Action
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services				No Change

Create New Brochure

« Previous — Save — Next »

Upon submission of the filing, and once all completeness checks are passed, the system will prompt you to upload a new file.



ADV on-line completeness checks passed successfully.

There are no accounting charges for this filing.

Part 2 Brochures:

BROCHURE UPLOAD

Brochure ID	Brochure Name	Brochure Type(s)	Action	Filename
-	SAMPLE BROCHURE	Individuals, Financial Planning Services	New	Browse...

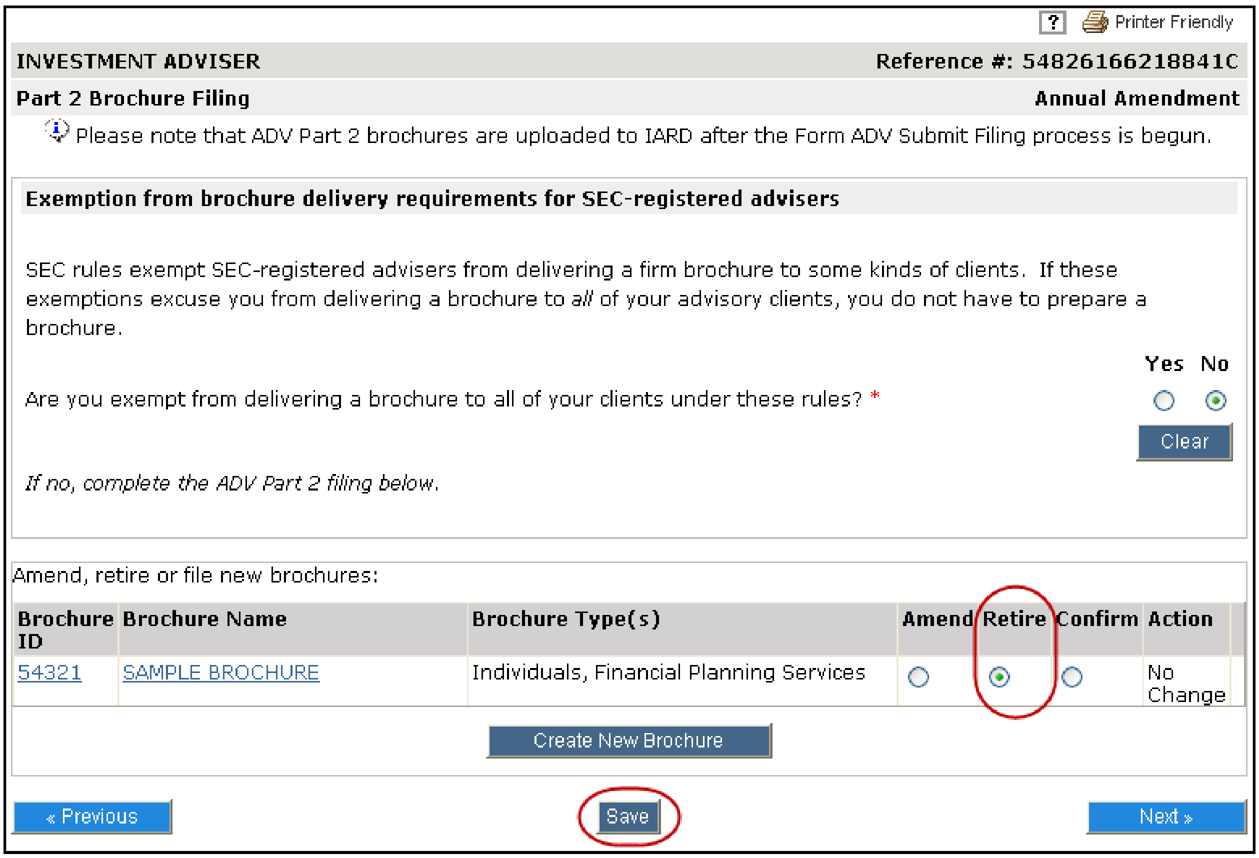
Submit Filing

Retire a Brochure

For firms with multiple brochures on file, the Retire brochure option allows a firm to retire brochures describing advisory services that are no longer offered to clients. If a firm has a single brochure, updates must instead be made by amending the brochure.

To retire a brochure, access the appropriate Form ADV amendment filing. From the Part 2 Brochure Filing page, select the **Retire** radio button.

Upon submission of the Form ADV filing retired brochures will be removed from IAPD the following day. However, retired brochures will remain in IARD for historical purposes.



Printer Friendly

INVESTMENT ADVISER **Reference #: 54826166218841C**

Part 2 Brochure Filing **Annual Amendment**

Please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun.

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SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules? * Yes No

Clear

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Amend	Retire	Confirm	Action
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services				No Change

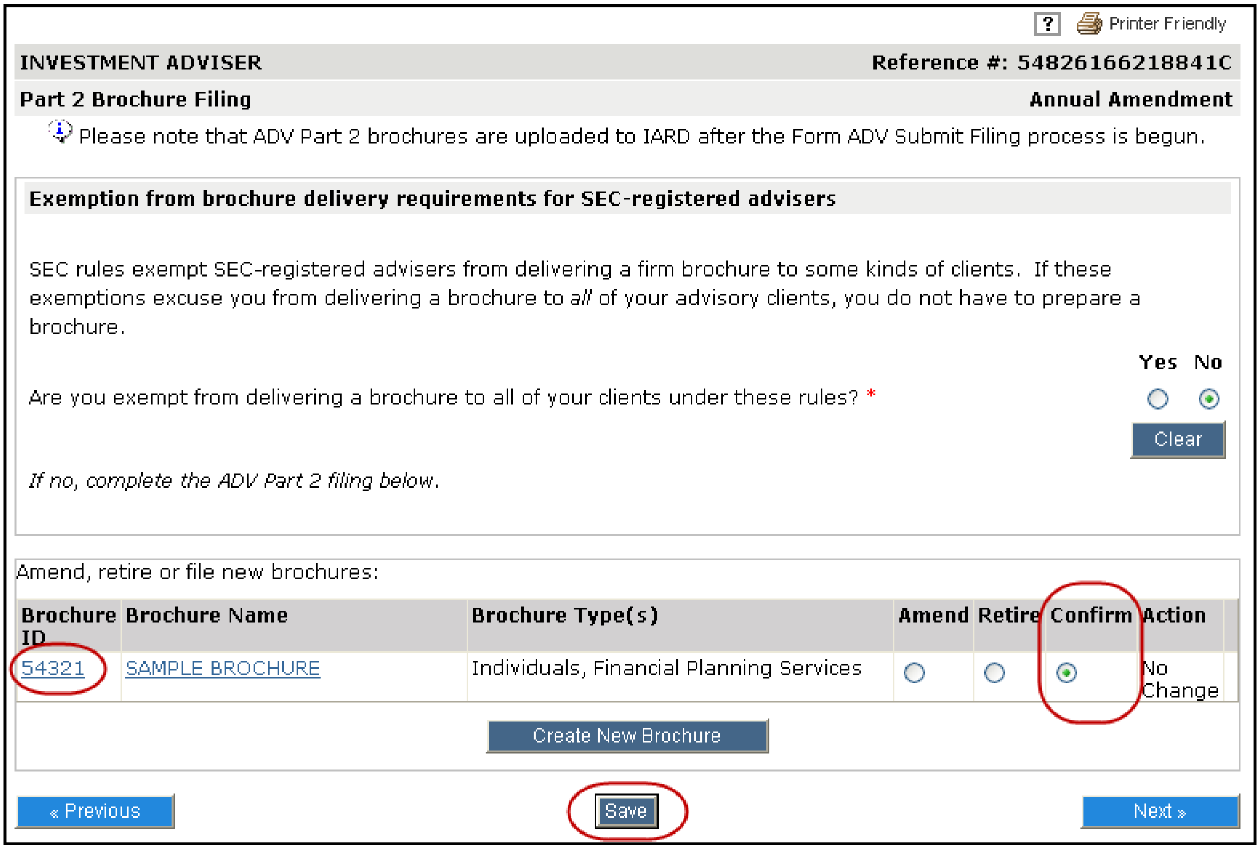
Create New Brochure

« Previous Save Next »

Confirm a Brochure

The Confirm brochure option is only available on a Form ADV Annual Amendment filing. This option allows the firm to confirm that the brochures on file are still current .Upon submission of the filing, the system will not prompt the firm to upload a new version of the brochure.

To confirm a brochure, access the appropriate Form ADV amendment filing. From the Part 2 Brochure Filing page, click the **Brochure ID** hyperlink to verify that the brochure on file is up to date and select the **Confirm** radio button.



Brochure Information in View Organization

Firms can view brochure status and filing information in IARD View Organization.

The **Brochure Status** page displays a lit of all brochures submitted by the firm along with the current Brochure Filing Status and the date on which the brochure was last modified.

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Brochure Status

Organization CRD#: 0000	**Primary Business Name:** INVESTMENT ADVISER
Organization SEC#: 801- 00000	**Full Legal Name:** INVESTMENT ADVISER, LLC.
No BD Record	**Electronic Filer**

Brochure ID	Brochure Name	Brochure Type(s)	Last Change Date	Brochure Filing Status	Last Version Number
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services	09/26/2011	Amended	2

Brochure Filing Statuses

Status	Description
New	This status is set when a firm files a Form ADV Initial or if a firm files a Form ADV Amendment and attaches a new brochure.
Confirmed	This status is set when a firm files an Annual Amendment and chooses the "Confirm Current Brochure" option, certifying that the current brochure version filed is still valid.
Amended	This status is set when a firm files a Form ADV Amendment and submits an up-dated brochure.
Retired	This status is set when a firm retires a brochure or when the system retires the brochure because there are no active registrations for a firm.
Archived	This status is set by the system five years after a brochure has been retired.

From the Brochure Status page, click the **Brochure Name** hyperlink to view the Brochure Jurisdiction Status.

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Brochure Status

Organization CRD#: 0000	**Primary Business Name:** INVESTMENT ADVISER
Organization SEC#: 801- 00000	**Full Legal Name:** INVESTMENT ADVISER, LLC.
No BD Record	**Electronic Filer**

Brochure ID	Brochure Name	Brochure Type(s)	Last Change Date	Brochure Filing Status	Last Version Number
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services	09/26/2011	Amended	2

Brochure Information in View Organization (Continued)

The **Brochure Jurisdiction Status** page displays the brochure's status with each jurisdiction with which the firm is registered or has applied for registration.

Click the Jurisdiction hyperlink to view a history of the brochure's status in that jurisdiction.

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Brochure Jurisdiction Status

Organization CRD#: 0000	**Primary Business Name:** INVESTMENT ADVISER
Organization SEC#: 801- 00000	**Full Legal Name:** INVESTMENT ADVISER, LLC.
No BD Record	**Electronic Filer**

Brochure ID:	54321
Brochure Name:	SAMPLE BROCHURE
Brochure Type(s):	Individuals, Financial Planning Services
Current Brochure Filing Status:	Amended
Version Number:	2

Jurisdiction	Current Brochure Jurisdiction Status	Status Effective Date
Ohio	Delivered	09/26/2011

Brochure Jurisdiction Statuses

Status	Description
Accepted	This status is set when a brochure is reviewed and approved by a regulator.
Delivered	This status is set when a brochure is received by a regulator which does not participate in brochure review.
Pending	This status is set when a brochure is pending review by a regulator.
Deficient	This status is set when a brochure is deficient and further action is needed.
Inactive	This status is set when a regulator terminates a firm's registration.
Retired	This status is set when a firm retires a brochure or when the system retires the brochure because there are no active registrations for a firm.
No Status	This status is set by the system if a firm does not have an approved registration with a jurisdiction.

Brochure Information in View Organization (Continued)

The **Brochure Filing History** page displays a list of brochures submitted by the filing firm.

Click the Brochure Name hyperlink to view previously submitted versions of a brochure.

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Brochure Filing History

Organization CRD#: 0000	**Primary Business Name:** INVESTMENT ADVISER
Organization SEC#: 801- 00000	**Full Legal Name:** INVESTMENT ADVISER, LLC.
No BD Record	**Electronic Filer**

Brochure ID	Brochure Name	Brochure Type	Last Filing Date	Last Version Number
54321	SAMPLE BROCHURE	Individuals, Financial Planning Services	09/26/2011	2

? Printer Friendly

Brochure Filing History Detail

Organization CRD#: 0000	**Primary Business Name:** INVESTMENT ADVISER
Organization SEC#: 801-00000	**Full Legal Name:** INVESTMENT ADVISER, LLC.
No BD Record	**Electronic Filer**

Brochure ID:	54321
Brochure Name:	SAMPLE BROCHURE
Brochure Type(s):	Individuals, Financial Planning Services
Current Brochure Filing Status:	Amended

Filing Date	Filing ID	Form ADV Filing Type	Brochure Status on Filing	Version Number
09/26/2011	558108	Annual Amendment	Amended	2
09/15/2011	557833	SEC Initial, State Initial	New	1

