



HOME

SEARCH

CONTACT US

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What is IARD?

How to Access IARD

Filing Online

Fees &amp; Accounting

Web CRD/IARD E-Pay

Renewal Program

▶ Help &amp; Training

Publications

Directories



## IARD System Frequently Asked Questions - Form Filing for IA Firms ADV Part 2

### 1. Do firm users need entitlement to file Part 2 of Form ADV in IARD?

In order to file Part 2 of Form ADV, the user must have entitlement to submit Forms ADV and ADV-W. There is no additional ADV Part 2 entitlement for firm users.

### 2. Is my firm required to file Part 2 of Form ADV through IARD?

For policy questions related to Form ADV, firms should contact the regulator(s) directly. A list of jurisdiction regulators can be found at [www.nasaa.org](http://www.nasaa.org).

**Note to SEC-registered advisers:** The SEC requires that SEC-registered advisers file Part 2 of Form ADV electronically through the IARD system. See Rules 203-1(b)(2), 204-1(c) and 204-3 of the Investment Advisers Act for details of your legal obligations concerning Part 2 of Form ADV.

### 3. What information should I include in my brochure?

For questions related to the contents of brochures, firms should contact the regulator(s) directly. SEC-registered advisers may contact the SEC by [email](mailto:). A list of jurisdiction regulators can be found at [www.nasaa.org](http://www.nasaa.org).

### 4. Is ADV Part 2 a separate form in IARD?

No, Part 2 is simply the second part of Form ADV (i.e. Part 1) and can be accessed by opening a Form ADV filing.

### 5. How do I know if my brochure is text-searchable?

To test if your brochure is text-searchable:

1. Open the PDF file
2. Click Edit from the Tool Bar
3. Click Find from the menu options
4. Search for a word in the document

If you are able to perform a word search, the document is text-searchable.

### 6. Can I amend the Brochure Name, Brochure Description and Types of Business on a brochure filing without attaching a new version of the brochure?

No. A new brochure attachment is required if the brochure metadata (i.e. Brochure Name, Description, and Brochure Type) is changed.

### 7. I've created a new brochure on a Part 2 filing by entering the Brochure Name, Brochure Description and Type of Business but I do not see a button to upload the brochure. Where should I click to upload my document?

You will be prompted to upload the new brochure after clicking the Submit Filing hyperlink in the navigation panel.

### 8. If you retire a brochure can you change the brochure description?

No. Firms cannot amend a brochure after it has been retired. If the firm wants to retire a brochure but they have changes, they must amend the brochure first then retire it.

**9. Will retired brochures display on IAPD?**

Retired brochures will not display in IAPD. However, retired brochures will display in IARD.

**10. I am trying to perform a Brochure Search by entering Brochure Name in the search criteria. However, the results do not contain the brochure I am searching for. Why?**

The Brochure Search functionality only searches for content within a brochure. The Brochure Name and Brochure Description are not included as search criteria. Your search criteria should consist of a word or phrase found within the brochure content.

| [Top](#) | [Back](#) |



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