Georgia – Federal Covered Advsier

<http://sos.georgia.gov/securities/investment_advisor.htm>

**Federal Covered Investment Adviser [O.C.G.A. § 10-5-34]:**

Federal covered advisers are persons registered with the SEC pursuant to Section 203 of the Federal Investment Advisers Act of 1940. Subject to a de minimis exemption for out-of-state advisers with less than 6 Georgia clients, federal covered advisers are required to notice file with the Georgia Securities Division through IARD.

***Notice File Checklist***

* Filing Fee: $250 paid through IARD
* Complete and file Form ADV through IARD

*Note: If you are a federal covered adviser, you* ***do not*** *have to file Part II of the Form ADV unless the Securities Division requests that you file Part II of the Form ADV. You will have 5 days to electronically file Part II of the Form ADV after such form is requested by the Securities Division.*

***Expiration and Renewal***

Unless renewed, all federally covered advisers notice filings (regardless of when permitted in the calendar year) expire on December 31st of each calendar year. The renewal fee is $100. Renewals should be submitted through IARD prior to expiration of registration.

FINRA publishes instructions on IARD renewal during the fall prior to expiration. If you do not receive instructions from FINRA regarding the renewal process during the fall you should contact the FINRA Gateway Call Center at (240) 386-4848.

**Please be advised:** Failure to renew by December 31st will result in termination of your registration in Georgia. The Securities Division will NOT send out separate renewal notices to remind registrants and notice filers of the renewal process.

 ***Additional Information***

* **De minimus exemption:** A federal covered investment adviser without a place of business in Georgia and who during the preceding 12 months has had fewer than six Georgia clients need not complete a notice filing with the Securities Division. Please see O.C.G.A. §§ 10-5-34(b).
* **ADV Amendments:** Name and address changes should be submitted immediately through IARD.