**Investment Advisor Registration Process**

**Nancy Fallon-Houle, P.C.**

* Exams
  + U-4 – New Firm Lists you as Rep
  + U-10 – Schedule the Exam
  + How to Schedule Exam
  + Exam Testing Centers in IL
* FINRA Entitlement Account Application for Investment Adviser Registration - SSA
  + State Adviser Registrant – State Entitlement Packet
  + Federal Adviser Registrant – SEC Entitlement Packet
* Fund IARD Account with Wire Transfer or Check – Fees for FINRA, SEC and State, Rep Fees for both, Set up Fees for both: FINRA – CRD Web Payment
* Create IARD Accounts and Log Ins
* File ADV Part I Online – (Can start the drafting process before state registration forms submitted)
* File ADV Part II Online
  + Brochure concurrently
* [Illinois] State Registration if under $25 million AUM
* [Illinois] Investment Adviser Registration Packet – Custom Forms
* Customer Intake Form
* Client /Customer Agreement
* Procedures Manual – Trading Policies
* Compliance Manual