IARD

Form ADV-NR

About Form ADV-NR

Form ADV-NR may be required to be submitted or amended in certain circumstances (click here for instructions). Form ADV-NR is accessed through the FINRA Gateway, FINRA's new compliance platform. This guide is meant to provide navigational assistance for filers. For policy questions related to Form ADV-NR, please reach out to the SEC at iardlive@sec.gov.

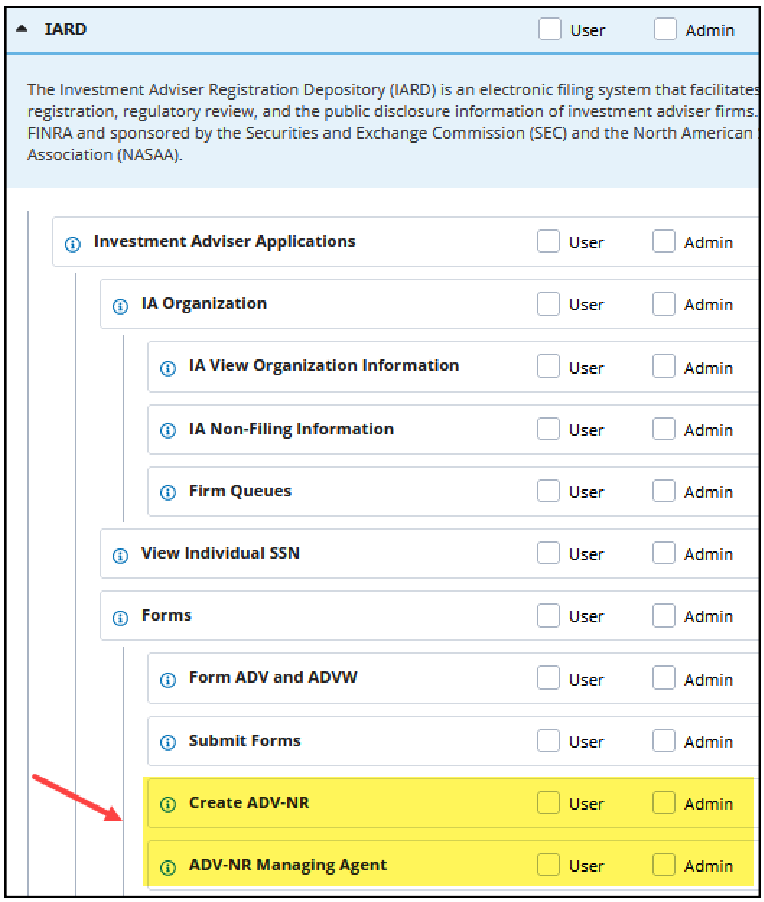
Contents:

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

Form ADV-NR Entitlement

The firm’s Super Account Administrator (SAA) is able to grant entitlement to those to require it. When granting entitlement, there are two options:

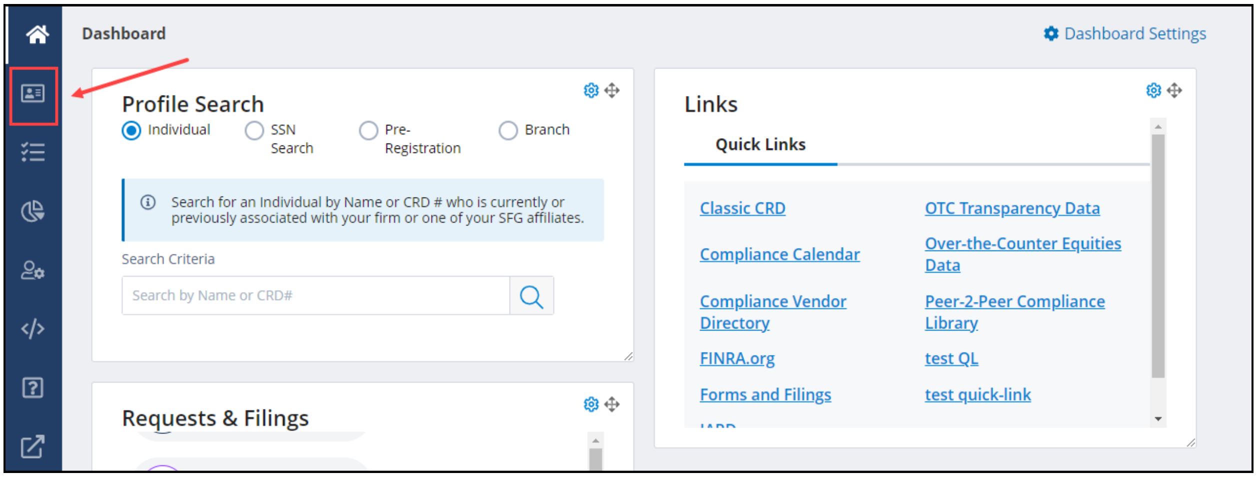
- Create ADV-NR: Used by the investment adviser to create and save the form.
- ADV-NR Managing Agent: Used by the non-resident to complete and submit the form.



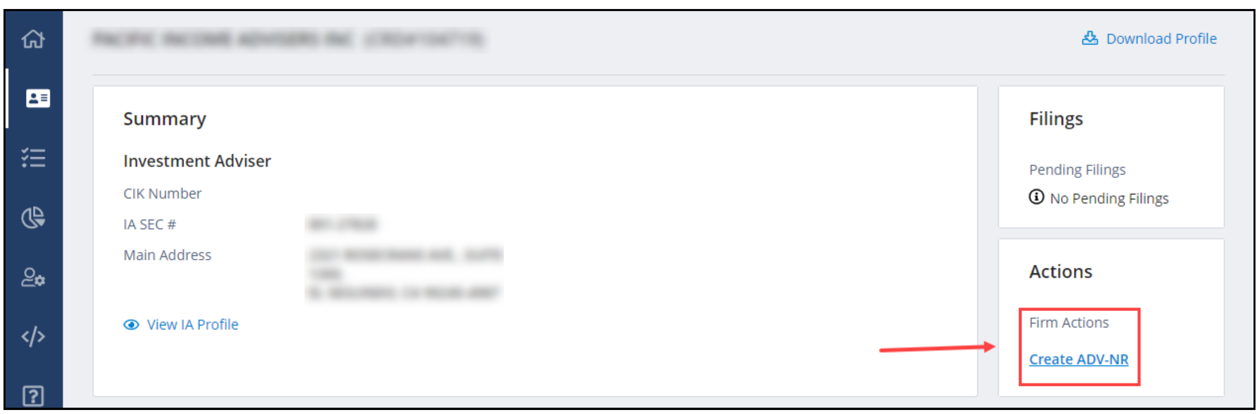
Tip: It is possible for the same user to have both entitlements. For the purposes of this guide, a scenario with separate accounts will be used.

Completing Investment Adviser Section of Form ADV-NR

The user with entitlement to create ADV-NR should access the newly designed FINRA Gateway at https://gateway.finra.org and navigate to **Profiles** as shown below.

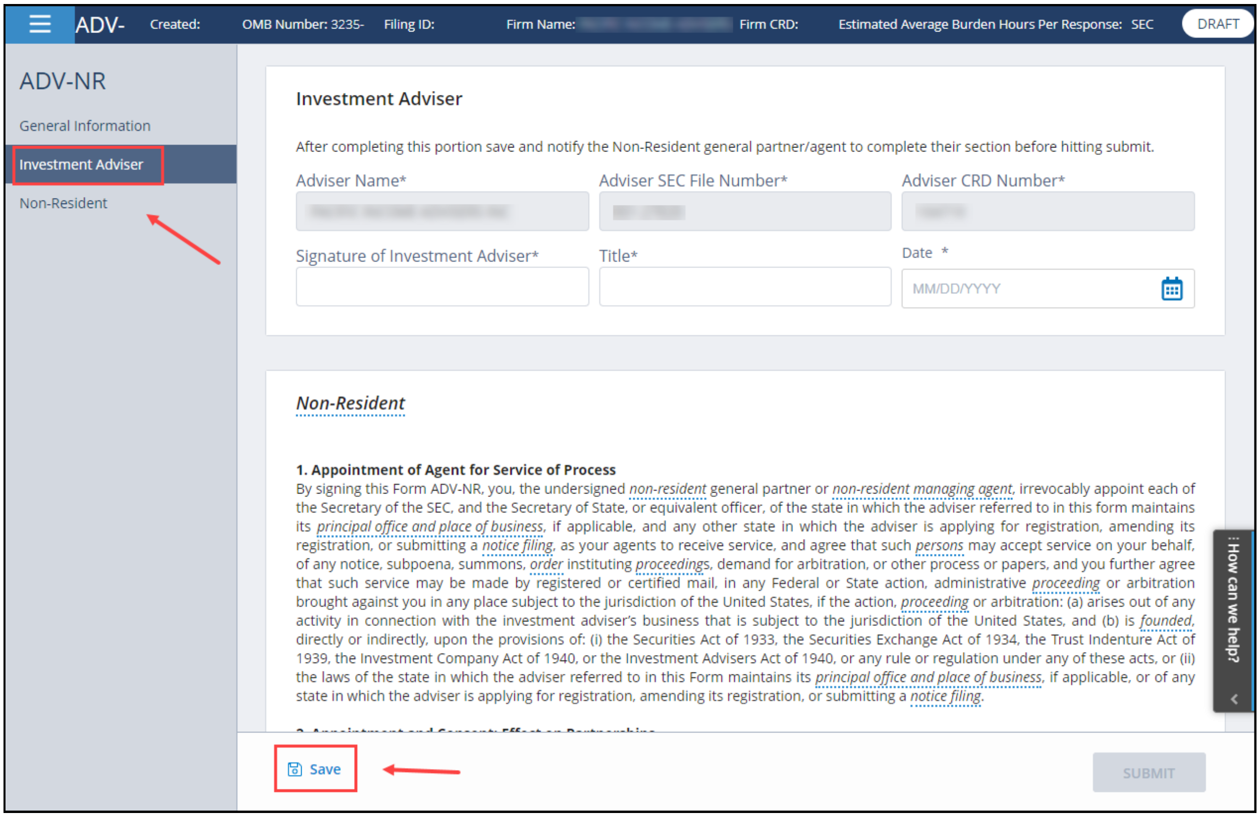


From the profile, select the **Create ADV-NR** link in the Actions card.



Completing Non-Resident Section of Form ADV-NR (Continued)

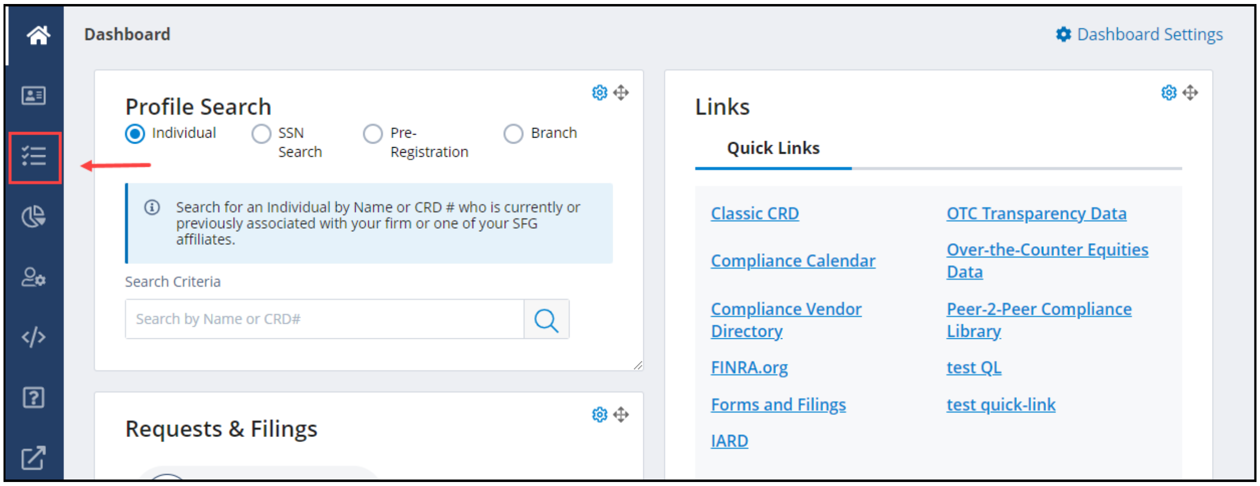
Complete the **Investment Adviser** section of the form an click the **Save** button.



Tip: In this scenario with separately entitled users, this user will not be able to submit the filing. At this point, the non-resident should login to complete and submit the filing (see next section).

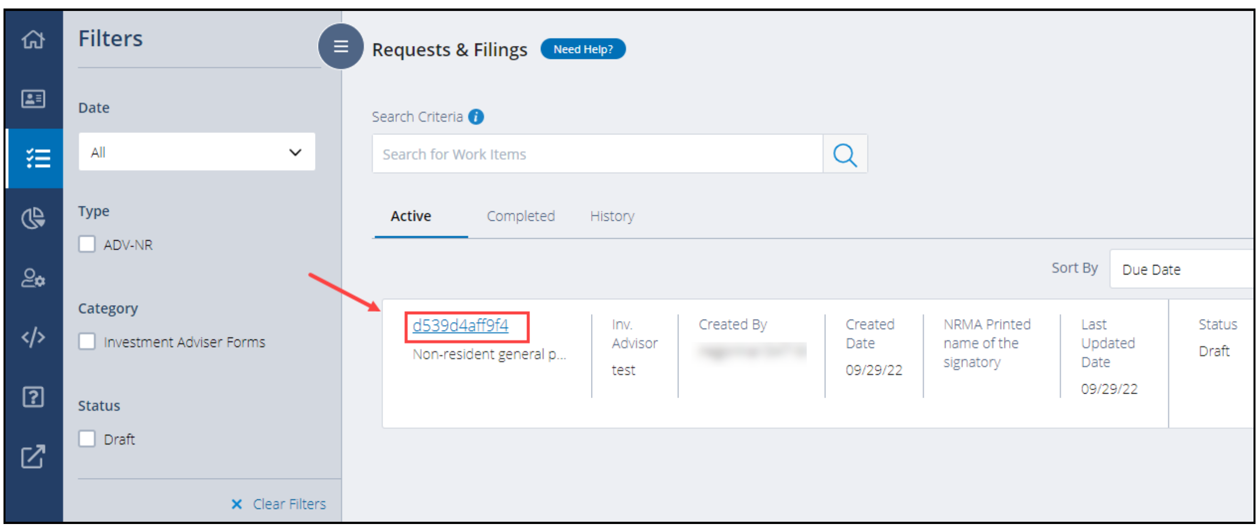
Completing Non-Resident Section of Form ADV-NR

The user with non-resident entitlement should access the newly designed FINRA Gateway at https://gateway.finra.org and navigate to the existing draft in **Requests & Filings** as shown below.



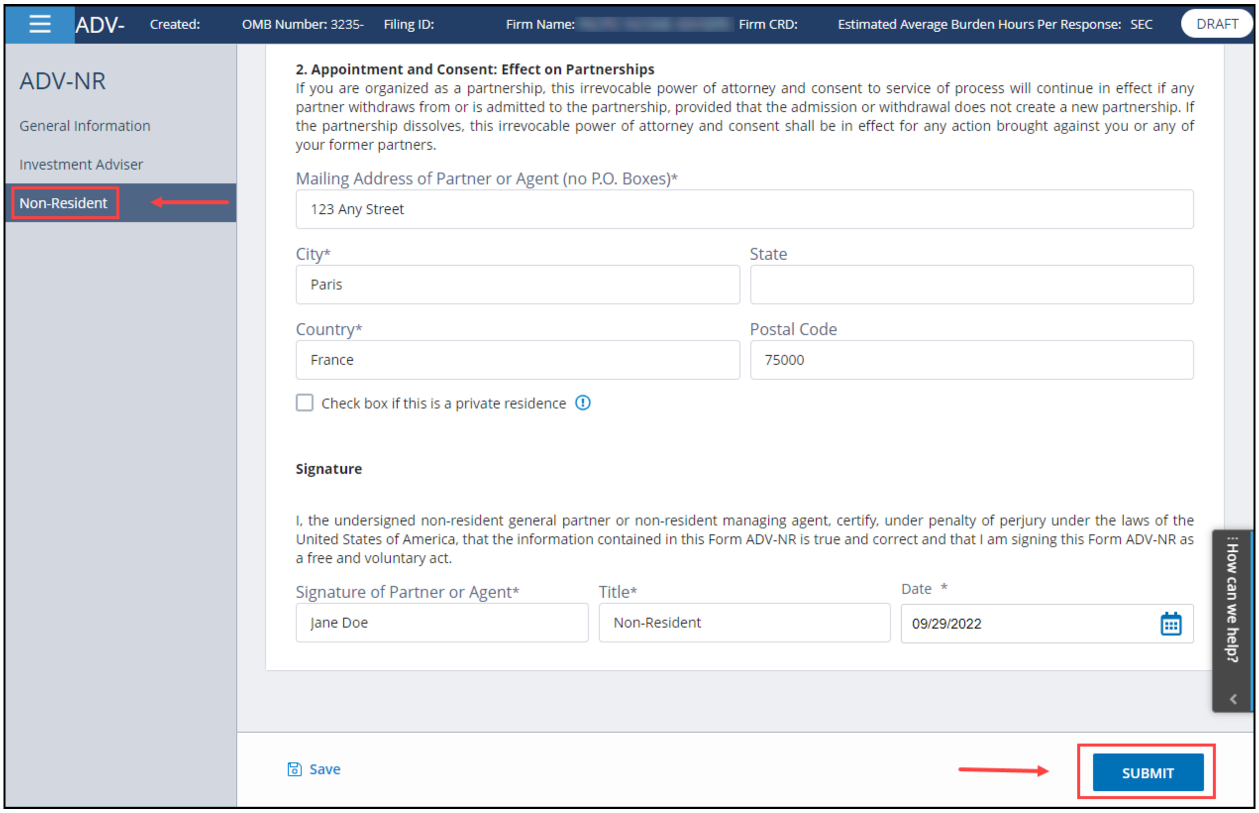
Select the applicable draft filing from the list to open the saved ADV-NR.

Tip: Use the filter options on the left side if needed.



Completing Non-Resident Section of Form ADV-NR (Continued)

Complete the **Non-Resident** section of the form. Once complete, the **Submit** button will become active and the form can be submitted.



ADV- Created: OMB Number: 3235- Filing ID: Firm Name: Firm CRD: Estimated Average Burden Hours Per Response: SEC DRAFT

ADV-NR

General Information

Investment Adviser

Non-Resident

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

Mailing Address of Partner or Agent (no P.O. Boxes)*: 123 Any Street

City*: Paris

State:

Country*: France

Postal Code: 75000

☐ Check box if this is a private residence

Signature

I, the undersigned non-resident general partner or non-resident managing agent, certify, under penalty of perjury under the laws of the United States of America, that the information contained in this Form ADV-NR is true and correct and that I am signing this Form ADV-NR as a free and voluntary act.

Signature of Partner or Agent*: Jane Doe

Title*: Non-Resident

Date *: 09/29/2022

How can we help?

Save

SUBMIT

Form ADV-NR History

To review the firm's Form ADV-NR history, navigate to **Requests & Filings** and view the **History** tab.