



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](mailto:iardlive@sec.gov).

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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.

## 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.

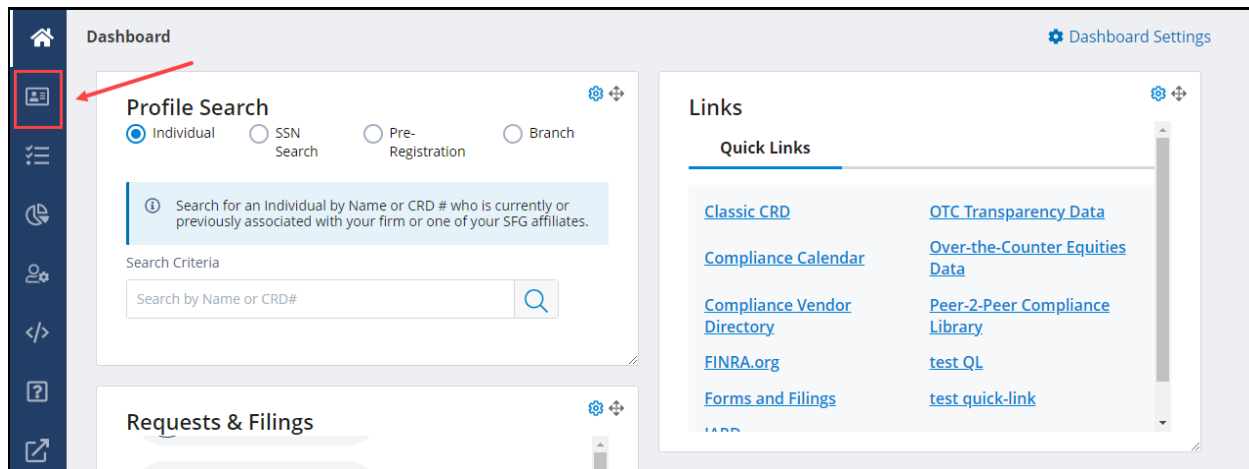
The screenshot displays the IARD (Investment Adviser Registration Depository) user entitlement management interface. At the top, there is a header for 'IARD' with 'User' and 'Admin' checkboxes. Below this is a descriptive paragraph about the IARD system. The main area is a tree view of permissions, each with a 'User' and 'Admin' checkbox. The 'Create ADV-NR' and 'ADV-NR Managing Agent' options are highlighted in yellow, and a red arrow points to the 'Create ADV-NR' option.

Entitlement	User	Admin
Investment Adviser Applications	<input type="checkbox"/>	<input type="checkbox"/>
IA Organization	<input type="checkbox"/>	<input type="checkbox"/>
IA View Organization Information	<input type="checkbox"/>	<input type="checkbox"/>
IA Non-Filing Information	<input type="checkbox"/>	<input type="checkbox"/>
Firm Queues	<input type="checkbox"/>	<input type="checkbox"/>
View Individual SSN	<input type="checkbox"/>	<input type="checkbox"/>
Forms	<input type="checkbox"/>	<input type="checkbox"/>
Form ADV and ADVW	<input type="checkbox"/>	<input type="checkbox"/>
Submit Forms	<input type="checkbox"/>	<input type="checkbox"/>
<b>Create ADV-NR</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ADV-NR Managing Agent</b>	<input type="checkbox"/>	<input type="checkbox"/>

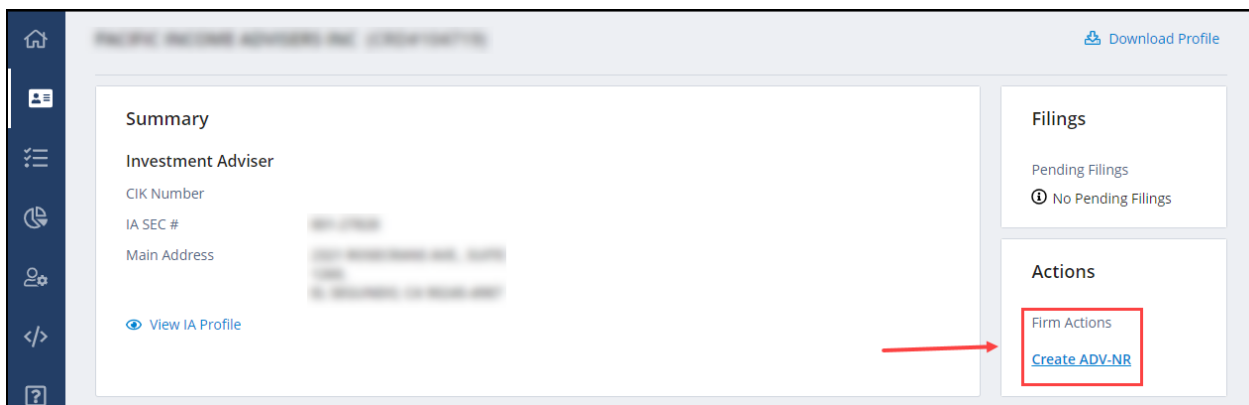
**Tip:** It is possible for the same user to have both entitlements. For the purposes of this guide, a scenario with separate accounts will be used.

## 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 and click the **Save** button.

ADV-NR 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

**Investment Adviser**

After completing this portion save and notify the Non-Resident general partner/agent to complete their section before hitting submit.

Adviser Name\* Adviser SEC File Number\* Adviser CRD Number\*

Signature of Investment Adviser\* Title\* Date \*

MM/DD/YYYY

**Non-Resident**

**1. Appointment of Agent for Service of Process**  
By signing this Form ADV-NR, you, the undersigned *non-resident* general partner or *non-resident managing agent*, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains its *principal office and place of business*, if applicable, and any other state in which the adviser is applying for registration, amending its registration, or submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any Federal or State action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration: (a) arises out of any activity in connection with the investment adviser's business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which the adviser referred to in this Form maintains its *principal office and place of business*, if applicable, or of any state in which the adviser is applying for registration, amending its registration, or submitting a *notice filing*.

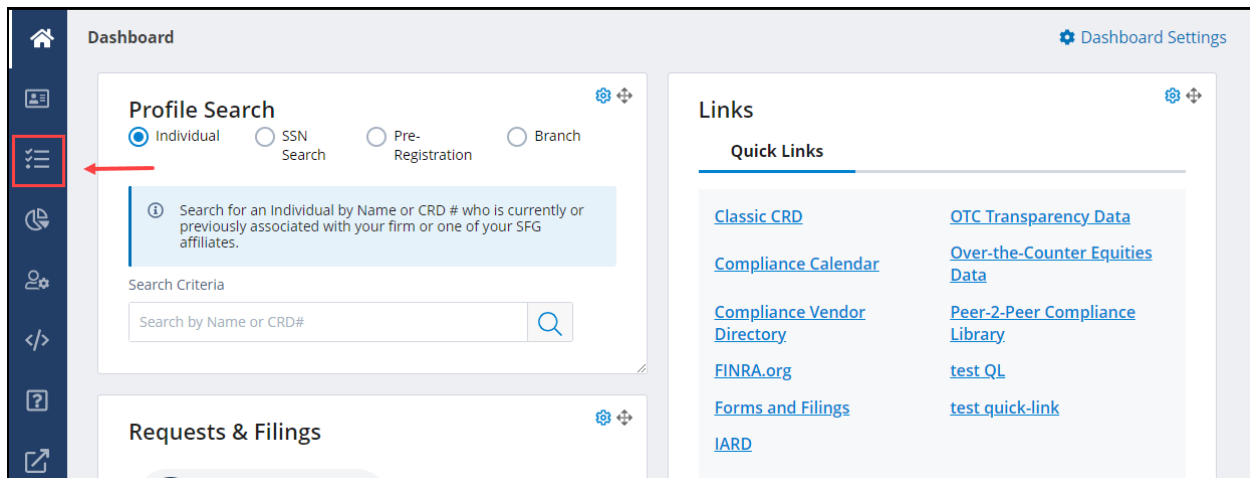
How can we help?

Save SUBMIT

**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).

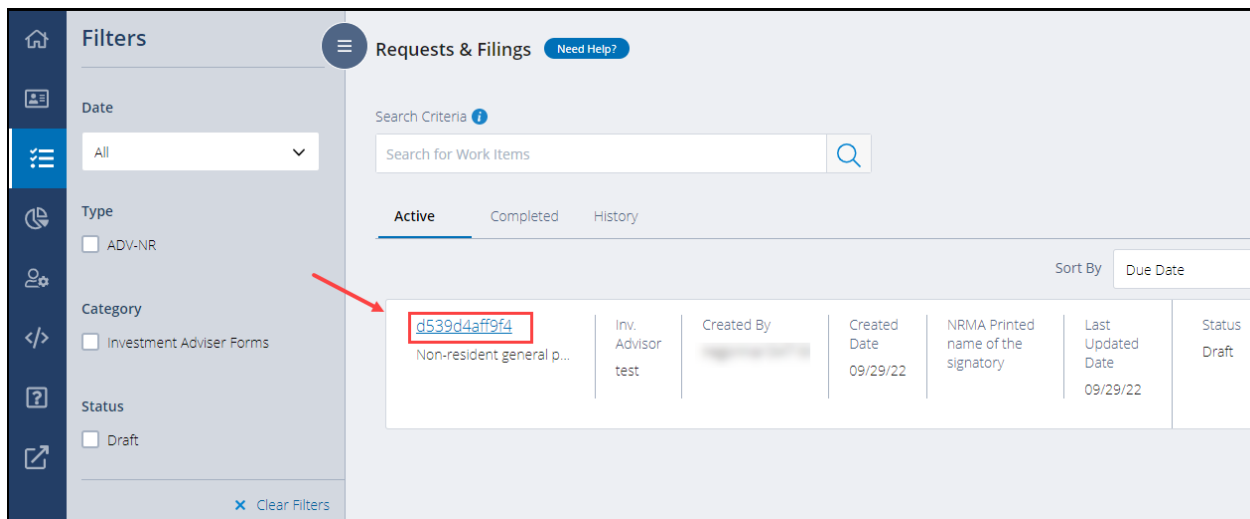
## Completing Non-Resident Section of Form ADV-NR

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-NR

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

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\* State

Paris

Country\* Postal Code

France 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\* Title\* Date \*

Jane Doe Non-Resident 09/29/2022

Save SUBMIT

## Form ADV-NR History

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

The screenshot shows the 'Requests & Filings' interface. On the left, there is a 'Filters' sidebar with sections for Date, Type, Category, and Status. The 'Date' filter is set to 'All'. The main area is titled 'Requests & Filings' and includes a search bar labeled 'Search for Work Items'. Below the search bar, there are three tabs: 'Active', 'Completed', and 'History'. The 'Completed' tab is selected and highlighted with a red box. A red arrow points to the 'Completed' tab. Below the tabs, there is a table of work items. The table has columns for ID, Inv. Advisor, Created By, Created Date, NRMA Printed name of the signatory, Last Updated Date, and Status. One row is visible with the following data:

ID	Inv. Advisor	Created By	Created Date	NRMA Printed name of the signatory	Last Updated Date	Status
<a href="#">d539d4aff9f4</a> Non-resident general p...	John Doe	[Redacted]	09/29/22	Jane Doe	09/29/22	Submi