

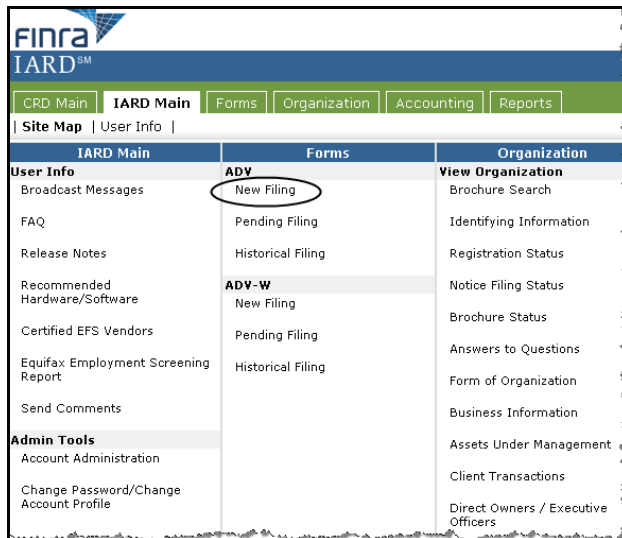
Organization Form Filing is an IARDSM function that provides entitled firm users with the means to electronically file Form ADV, Form ADV-W and/or Form BR. Joint Investment Adviser/Broker-Dealer firms have the ability to link their Form ADV filings to DRPs and Schedules A and B on their broker-dealer record. Firms can also view their previous form filings through the Historical Filing feature, with the latest amendments highlighted in red. Access IARD at <https://crd.finra.org/iad>.

There are 2 ways to access **Forms** in IARD.

1. From the **Forms** section of the IARD Site Map, click on the **New Filing** hyperlink.

OR

1. Click the **Forms** tab on the toolbar.



2. Click one of the sub-menu options to select a form.

Form Filing Features

Choose **New Filing** to access the **New Filing Types** and begin work on a new filing.

Choose **Pending Filing** to retrieve a filing that has been started, but not completed. Form ADV and Form ADV-W filings remain pending for up to 120 days, after which, the filing will be automatically deleted from the system.

Choose **Historical Filing** to view and/or print previously submitted filings (full filings, or filings with changes in "redline mode"). Firms can only view filings that they have submitted.



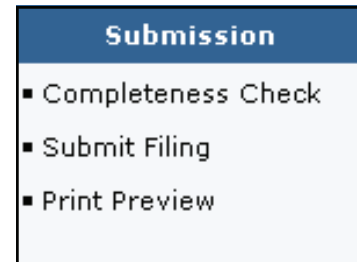
Questions on IARD? Call the IARD Hotline at 240-386-4848
8 A.M. - 8 P.M., ET, Monday through Friday.

Basic Steps to Complete a Form Filing

1. Access Forms in IARD.
2. Select a Form Filing.
3. Select a Filing Type
4. Click each section of the navigation bar, type the appropriate information and click **Save**.
5. Run a Completeness Check. Complete all necessary fields.
6. Print the filing.
7. Submit the filing.

Using the Submission Menu

- **Completeness Check** - Used to verify that all required fields in the filing are complete. If any of the required fields are not complete, a screen will display depicting the error location and the error description in a hyperlink format. Click the hyperlink to proceed directly to the screen to correct the error. A completeness check is also automatically performed when you select Submit Filing.
- **Submit Filing** - Submitting a filing is a two-step process.
 1. Select **Submit Filing**. The IARD system automatically runs a completeness check when Submit Filing is selected. If the filing passes the completeness check, the system allows you to continue with the submission process, if the filing does not pass the completeness check, return to the screens where the errors have occurred and correct them.
 2. Select **Submit Filing** a second time. Once the filing has passed the completeness check, a screen displaying a message that the filing has been successfully submitted will appear.
- **Print Preview** - Used to view or prepare the filing for printing. You can choose to view/print a specific page or view/print the entire filing.



To print the entire filing:

1. Select **Print Preview**.
2. Choose **All Pages** from the navigation bar.
3. Click the **Print** icon located on the right side of the screen.
4. Click **Print** on the system print box.

Filing Types

Form ADV

- **Apply for registration as an investment adviser with the SEC** - Choose this filing type for applicants who are not currently registered with the SEC and wish to send a Notice Filing to the state(s) of their SEC registration.
- **Apply for registration as an investment adviser with one or more states** - Choose this filing type for applicants who wish to register with a state(s).
- **Submit an annual amendment to your registration for your fiscal year ended December** - Choose this filing type for SEC-registered IAs who have filed a Form ADV through IARD and are now filing their Annual Amendments or IAs registered with states that require an annual amendment. SEC-registered IAs can make Notice Filings with a new state(s) or stop Notice Filings with an existing state(s) when filing their Annual Amendments. Firms cannot submit more than one Annual Amendment for a given fiscal year.
- **Submit an other-than-annual amendment to your registration** - Choose this filing type for:
 - a) applicants who are registered with a state(s) and making their first electronic Form ADV filing after transitioning
 - b) advisers who are registered with the SEC or states and are amending their existing electronic Form ADV filing
 - c) advisers who are registered with the SEC and wish to make a Notice Filing with a new state or stop a Notice Filing with an existing state
 - d) applicants who are registered with a state(s) and wish to request registration with an additional state
 - e) applicants who have a pending application with the SEC or state(s) and are amending a previously filed Form ADV

Form ADV-W

- **Full Withdrawal** - Choose this filing type for applicants who wish to withdraw their registration with all regulators with which they are currently registered. This indicates that the firm no longer wishes to conduct business as an Investment Adviser.
- **Partial Withdrawal** - Choose this filing type for applicants who wish to withdraw one or more registrations with the SEC and/or states, but wish to maintain at least one registration. Use a Partial Withdrawal to switch from an SEC to a state registration or from a state registration to an SEC registration.

Form Filing Tips

- Ensure that your Account Administrator has granted you entitlement to the Form Filing entitlement privilege. If you do not have this entitlement, the Forms tab or Forms section on the site map will not be available.
- Navigate through the forms by using the **Next** button at the bottom of each page.

Form BR

Investment Adviser firms that conduct business in certain jurisdictions may be required to file a Form BR to register and/or notice file their branch office(s). Contact your regulator to determine if your firm is required to file a Form BR.

NOTE: Firms that seek registration and/or notice filing status in jurisdictions that require Form BR will need to request Form BR filing entitlement privileges on Web CRD. For more information relating to Form BR entitlement refer to the IARD Web site at <http://www.iard.com> > How To Get Started.

SEC Registered Investment Advisers will NOT use Form BR and should continue to adhere to Form ADV instructions.

Form BR includes the following filing types.

- **Initial** - This filing type is used to register and/or notice file a new branch office with the appropriate jurisdiction(s). The term “register” refers to a process that requires an approval by a jurisdiction. The term “notice file” refers to a jurisdiction’s requirement to be notified when a branch opens in their jurisdiction or to be notified of any changes to a firm’s branch office information.
- **Amendment** - This filing type is used to add or change information on a Form BR filing. The applicant must update the Form BR information by submitting amendments whenever the information on file becomes inaccurate or incomplete.
- **Closing/Withdrawal** - This filing type is used to terminate a branch office registration and/or to withdraw an initial filing prior to an approval by a jurisdiction.

Completing a Form BR Filing

1. Log onto Web CRD at <https://crd.finra.org>.
2. From the **Forms** section of the Web CRD Site Map, click the appropriate filing type hyperlink.
3. Click each section of the navigation bar and complete with the appropriate information.
4. Click **Save**.
5. Run a Completeness Check. Complete any necessary fields.
6. Print the filing.
7. Submit the filing.