

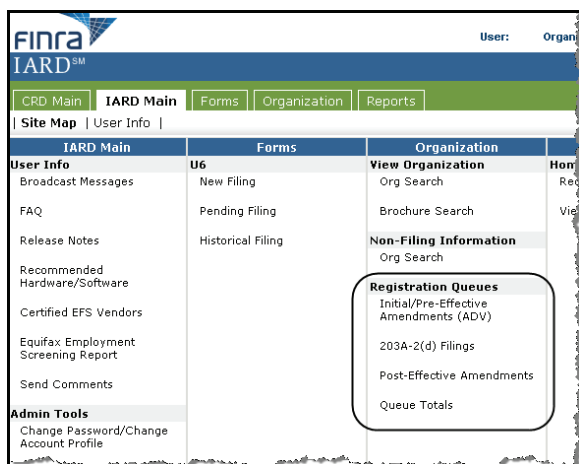
The **SEC Registration Queues** provide the mechanism in IARD<sup>SM</sup> for the SEC to receive notifications and make changes in registration status for Investment Adviser firms. Access IARD at <https://crd.finra.org/iad>.

There are two ways to access the SEC Registration Queues in IARD.

1. From the **Organization** section of the IARD Site Map, click directly on the link for a specific Registration Queue.

OR

1. Click the **Organization** tab on the tool bar.



2. Click **Registration Queues** on the sub-menu.
3. Select a specific queue on the navigation bar.

## SEC Registration Queue Types

- **Initial/Pre-Effective Amendments (ADV)** - Displays a list of initial registration requests and amendments to registration requests still pending SEC approval. The registration status of advisers in this queue may be Holding, Pending or Postponed. Notices remain in this queue for 120 days.
- **203A-2(d) Filings** - Displays a list of filings for advisers applying under the “120-day rule” who have had their registration status changed to “120-day approval.” Notices are never deleted from this queue.

Outstanding Notice Queues
▪ Initial/Pre-Effective Amendments (ADV)
▪ 203A-2(d) Filings
▪ Post-Effective Amendments
▪ Queue Totals

**Questions on IARD? Call the IARD Hotline at 240 386-4242**  
8 A.M. - 8 P.M., ET, Monday through Friday

- **Post-Effective Amendments** - Displays a list of amendments made by registered advisers. Amendments made by advisers to change control or ownership, disclosure status, name, or succession appear in this queue. Notices remain in this queue for 30 days.
- **Queue Totals** - Displays a list of all of the queues with the number of items in each queue.

The SEC Registration Notice Queues consist of 2 types of queues:

1. Outstanding Notice Queues
2. Saved Notice Queues

New notices enter the Outstanding Notice Queue. Begin working on a queue notice in the Outstanding Notice Queue and send the notice to the Saved Notice Queue to work on at a later time. This will help you manage your queues by differentiating the new filings from those you are currently reviewing. Notices in the Saved Notice Queue will never be systematically deleted.

### Steps for Working the Queues

1. Access Registration Queues
2. Select an Outstanding Notice Queue
3. Choose your sort and select criteria
4. Click **Sort/Select**

**NOTE:** A supervisor or manager may assign queue items to other staff by typing a name in the **Assigned To** field and clicking the **Save Updates** button.

The screenshot displays the 'Initial / Pre-Effective Amendments Notice Queue' interface. On the left, there are two main sections: 'Outstanding Notice Queues' and 'Saved Notice Queues', each containing a list of queue types: 'Initial/Pre-Effective Amendments (ADV)', '203A-2(d) Filings', 'Post-Effective Amendments', and 'Queue Totals'. The main content area features several filter options: 'Sort By: CRD #' with a dropdown arrow, radio buttons for 'Ascending' (selected) and 'Descending', 'Include Registrations: All' (selected) and 'With a Status of: Holding' with a dropdown arrow, 'Include Assignments: All' (selected), 'Only Unassigned', and 'Starts With:' with a text input field. Below these filters is a 'Number of Rows: 10' input field. At the bottom of the filter section are three buttons: 'Sort/Select' (circled in red), 'Save Updates', and 'Remove Page'. A red message below the buttons reads: 'Please choose your sort and select criteria and press the Sort/Select button.'

5. Click the gray arrow next to the item you wish to review.

**NOTE:** To remove an item from the queue, place a check mark in the **Remove** column and click **Save Updates**. To remove an entire page of items, click the **Remove Page** button.

**Initial / Pre-Effective Amendments Notice Queue**

Sort By: CRD #  Ascending  Descending

Include Registrations:  All  With a Status of: Holding

Include Assignments:  All  Only Unassigned  Starts With:

Number of Rows: 10

Sort/Select Save Updates Remove Page

<< Previous Next >>  
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Assigned To	Notice Date	Filing Date	Filing Type	CRD #	SEC #	Registration Status	Organization Name	Remove
>	07/22/2008	07/22/2008	SEC	2222		Holding	SECURITIES FIRM C	<input type="checkbox"/>
>	07/22/2008	07/22/2008	SEC	1111		Pending	SECURITIES FIRM B	<input type="checkbox"/>
>	07/17/2008	07/17/2008	SEC	0000		Postponed	SECURITIES FIRM	<input type="checkbox"/>

The Initial Pre-Effective Amendment Notice opens, as shown below.

**Initial Pre-Effective Amendment Notice**

Organization CRD#: 0000 Primary Business Name: SECURITIES FIRM  
 Organization SEC#: View BD Record Full Legal Name: SECURITIES FIRM  
 Electronic Filer

Notice Date: 07/17/2008

Assigned To: Corporation

Form of Organization: Corporation  
 Address: 123 SECURITIES LANE  
 ROCKVILLE, MD  
 UNITED STATES 20850

Contact: DOE, JOHN  
 Contact Phone: 555-555-5555  
 Contact Address: 123 MAPLE STREET  
 ROCKVILLE, MD  
 UNITED STATES 20850

Filing ID: 338504  
 Filing Date: 07/17/2008  
 SEC Statutory Review Period: 0 days  
 Elapsed Time

Basis for SEC Registration (Item 2 A(1))  
 have assets under management of \$25 million (in U.S. dollars) or more;  
 have your principal office and place of business outside the United States;  
 are an investment adviser (or sub-adviser) to an investment company registered under the Investment Company Act of 1940;  
 have been designated as a nationally recognized statistical rating organization;  
 are a pension consultant that qualifies for the exemption in rule 203A-2(b);

Has Disciplinary? N  
 New Disciplinary on This Filing? N

Sections Updated  
 Identifying Information  SEC Registration  Form of Organization  
 Successions  Information About Your Advisory Business  Other Business  
 Activities  Financial Industry Affiliations  Participation or Interest in Client  
 Transactions  Custody  Control Persons  Disciplinary Information  Schedule  
 A  ADV Part 2

Date Received  
 SEC Registration Status: 07/17/2008 - Postponed

Regulator Comments  
 Add Regulator Comments here  
 (maximum 2,000 characters).

Name Change Information  
 Old Full Legal Name  
 New Full Legal Name  
 Old Primary Business Name  
 New Primary Business Name

Send to Save Save Checks / Comments Reset Delete Reg Status

### Tips for Working an Initial Pre-Effective Amendment Notice

- Click the **Filing ID #** to view the form filing.
- Click **Y** (if applicable) to view disciplinary history for the firm.
- Click a form section hyperlink from **Sections Updated** to go to the specified updated section of the form.
- Click the check boxes next to the section hyperlink to indicate that you have reviewed that section.
- Click **Save Checks / Comments** to save the current content of **Regulator Comments** and the status of any check set by the user in the **Sections Updated** section for the next viewing.
- Click **Send to Save** to remove the notice from the **Outstanding Notice Queue** and to place it into the **Saved Notice Queue**.
- Click **Delete** to remove an item from the queue.
- Click **Reg Status** to access the screen that changes the registration status.