



IARD

View Organization

About View Organization

View Organization is the “read only” function in the IARD system that provides entitled users with the capability of viewing registration information in their firm’s IARD record. Much of the information in View Organization comes from the adviser’s form filing submissions and reflects the most recently filed Form ADV information.

Contents:

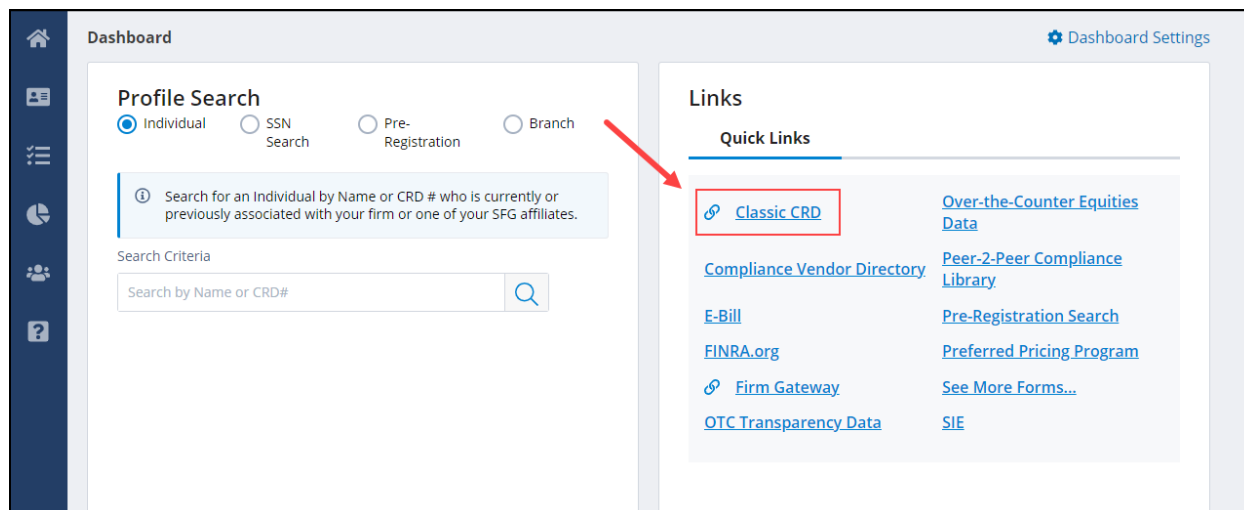
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Questions on IARD? Call the IARD Hotline at 240-386-4848
8 A.M. - 8 P.M., ET, Monday through Friday.

Accessing IARD

Access IARD directly at <https://crd.finra.org/iad> or through the newly designed FINRA Gateway at <https://gateway.finra.org> as shown below.

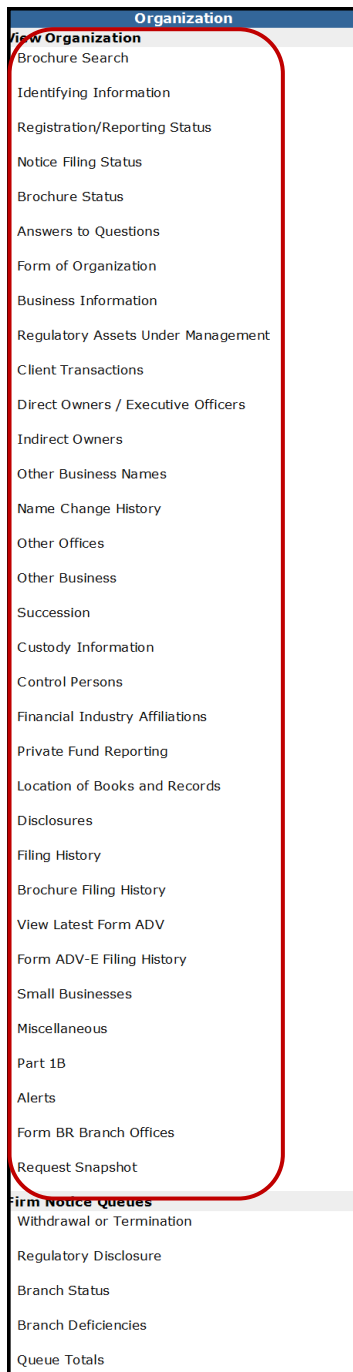
If accessing IARD through FINRA Gateway, select **Classic CRD** in the Quick Links section of your firm's dashboard and then navigate to the IARD Main tab.



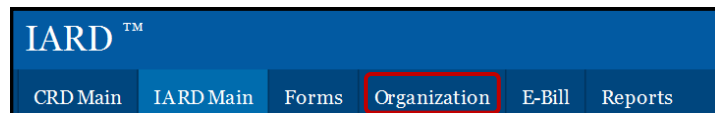
Firm Access to IARD Organization Information

Firms can access their own IARD record via the IARD sitemap or by clicking the Organization tab.

From the IARD sitemap, select a section of View Organization to go directly to that section of the firm's IARD record.



OR



NOTE: If you are not a firm user, the above links will not appear on the sitemap. Please use the instructions on the previous page to view IARD Organization Information.



Registration/Reporting Statuses

The Organization Registration Status table displays a list of the adviser's current registration statuses with all regulators with which the firm has applied for registration.

The Exempt Reporting Adviser Status table displays a list of regulators to which the firm has reported as an Exempt Reporting Adviser along with a status of Active or Withdrawn.

Select the **SEC/Jurisdiction** hyperlink to view a history of the firm's status with a regulator.

Registered Investment Adviser example record:

  Printer Friendly

Registration/Reporting Status

Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.
No BD Record	Electronic Filer



Organization Registration Status

SEC/Jurisdiction	Registration Status	Status Effective Date
SEC	Approved	09/15/2011

Exempt Reporting Adviser Status

No Exempt Reporting Adviser Status Information Found.

Exempt Reporting Adviser example record:

  Printer Friendly

Registration/Reporting Status

Organization CRD#: 00000	Primary Business Name: EXEMPT REPORTING ADVISER
Organization SEC#: 802- 00000	Full Legal Name: EXEMPT REPORTING ADVISER
No BD Record	Electronic Filer

Organization Registration Status

No Registration Status Information Found.

Exempt Reporting Adviser Status

SEC/Jurisdiction	Reporting Status	Status Effective Date
SEC	ERA - Active	08/24/2011

Investment Adviser Firm Registration Statuses

Status	Description	Regula-
120-Day Approval	Adviser's registration is approved, subject to the conditions of the 120-day rule (Rule 203A-2(c)). Adviser can conduct business.	SEC
*Abandoned	An adviser's registration has been "postponed," and the adviser has not submitted a filing for 90 days. The registration is then deemed abandoned. Adviser is not registered.	SEC, State
Approved	Adviser's registration is approved by SEC/state(s).	SEC, State
*Cancelled	SEC/state(s) cancel adviser's registration pursuant to a cancellation order. Adviser is not registered.	SEC, State
*Conditional Restricted	A registration status prompted by a manual change. Indicates that the firm is allowed to work in a restricted fashion (e.g. the firm is subject to requirements for extra supervision).	State
Denied	SEC/state(s) deny adviser's registration. Adviser is not registered.	SEC, State
Failure to Renew	A registration status prompted by an IA that did not pay renewals fees.	State
Holding	An initial registration on Form ADV received by SEC. SEC has not reviewed the registration. Adviser is not registered.	SEC
*Limited	A registration status prompted by a manual change that indicates the firm is operating in a "limited" capacity, such as only being able to sell mutual funds.	State
No Status	An initial status prompted by a Form ADV filing requesting state registration. This status indicates the state has not begun the review process. Adviser is not registered.	State
Not Transitioned	A status set by the jurisdiction regulator indicating that a firm's assertion of a prior approval during the process of transitioning onto the electronic system is incorrect. Adviser is not registered.	State
Pending	Initial registration on Form ADV is being reviewed by SEC/state(s). Adviser is not registered.	SEC, State
Postponed	SEC/state(s) has delayed approval of effectiveness of adviser's registration due to incomplete information on Form ADV or other deficiencies. Adviser is not registered.	SEC, State
Revoked	SEC/state(s) revokes adviser's registration. Adviser is not registered.	SEC, State

***Status may not apply to all states.**

Investment Adviser Firm Registration Statuses (Continued)

Status	Description	Regulator
*Suspended	SEC/state(s) has suspended adviser's registration for a specified period of time. Adviser is not registered.	SEC, State
Terminated	Adviser's registration terminated by the filing of a Form ADV-W. Adviser is not registered.	SEC, State
Termination Requested	A registration status prompted by an ADV-W filing.	State
Transitioning	A status for firms that have indicated that they were approved as registrants or Notice Filers with the states prior to the electronic system.	State
Voluntary Postponement	A status prompted by an IA's request to delay the effectiveness of the registration approval. Adviser is not registered.	SEC
Voluntary Withdrawal	Adviser has withdrawn registration before SEC/state(s) approved the firm's registration. Adviser is not registered.	SEC
Withdrawal Requested	A registration status prompted by a Form ADV-W filing prior to state approval. Adviser is not registered.	State
Withdrawn	A status set if a Form ADV-W filing is received and processed by a jurisdiction in which the application has not yet been approved. Adviser is not registered.	SEC, State

***Status may not apply to all states.**

Exempt Reporting Adviser Statuses

The Identifying Information page displays the Exempt Reporting Adviser's basis for reporting. Click the Registration/Reporting Status link on the left navigation panel to view the reporting status. (See also Page 5 of this document.)

Quick Search		Identifying Information	
<input type="text"/> <input type="button" value="Search"/>		Organization CRD#: 111111 Organization SEC#: 802-11111 No BD Record	
View Organization		Primary Business Name: TRAINING FIRM Full Legal Name: TRAINING FIRM Electronic Filer	
Identifying Information		Full Legal Name TRAINING FIRM Advisory Business Name TRAINING FIRM Principal Office and Place of Business 123 MAIN ST CITY, STATE UNITED STATES ZIP CODE	
Registration/Reporting Status		Mailing Address Residential Address (for Sole Proprietor) Principal Office Telephone Number 555-555-5555 Principal Office Facsimile Number Days of Week Business is Conducted at Principal Office Monday - Friday Normal Business Hours 9:00 -5:00 Web Addresses Registrations with Foreign Financial Regulatory Authorities	
Notice Filing Status Brochure Status Answers to Questions Form of Organization Business Information Regulatory Assets Under Management Client Transactions Direct Owners / Executive Officers Indirect Owners Other Business Names		Basis for SEC Registration Basis for SEC Reporting by Exempt Reporting Adviser qualify for the exemption from registration because you act solely as an adviser to private funds and have assets under management in the United States of less than \$150 million;	



Exempt Reporting Adviser Statuses

Status	Description	Regulator
Active	Adviser has filed an initial report to the SEC and/or state as an Exempt Reporting Adviser.	SEC, State
Withdrawn	Adviser has submitted a final report to the SEC and/or state as an Exempt Reporting Adviser.	SEC, State

Notice Filing Statuses

This section displays a list of jurisdictions to which a firm has provided notice of SEC registration.

Select the **SEC/Jurisdiction** hyperlink to view a history of the firm's status with a regulator.

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Notice Filing Status		
Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER	
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.	
No BD Record	Electronic Filer	
Jurisdiction	Notice Filing Status	Status Effective Date
IL	Notice Filed	09/15/2011
IN	Notice Filed	09/15/2011

For a description of the Status Details entry, refer to the Investment Adviser Firm Notice Filing Statuses table on the next page.

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Notice Filing Status History					
Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER				
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.				
No BD Record	Electronic Filer				
Jurisdiction	Notice Filing Status	Status Effective Date	Status Details	Status Detail Effective Date	Changed By
IL	Notice Filed	09/15/2011	Received	09/15/2011	SEC
IL	Pending	09/15/2011	Pending SEC Approval	09/15/2011	FIRMUSER

Investment Adviser Firm Notice Filing Statuses



Notice Filing Sta-	Status Details	Description
Notice Filed	Received	Upon SEC approval, the Status Detail is updated to Received (for manual states). The firm may go directly to a Status Detail of Received when an amendment is submitted if they are already SEC approved.
Notice Filed	Reviewed	After manual review (or automatically in "automatic" states), the Status Detail is updated to Reviewed.
Notice Filed	Removal Requested at End of Year	If the firm files an ADV amendment and deselects the checkbox for a particular jurisdiction, the Status Detail is updated to Removal Requested at End of Year. Can be toggled back to Received or Reviewed with an amendment prior to the end of the year.
No Longer Notice Filed	SEC Termination	Received when a firm has their SEC registration terminated.
No Longer Notice Filed	SEC Voluntary Withdrawal	Firm files an ADV-W after the SEC registration has been approved.
No Longer Notice Filed	Not Transitioned	Applied when the state sets a firm's Notice Filing status to Not Transitioned.
No Longer Notice Filed	Removal Requested	This combination is assigned during renewals for firms in a status of Notice Filed with Status Details of Removal Requested at End of Year.
No Longer Notice Filed	Did Not Pay Renotice Fee	This combination is assigned during renewals for firms that have not requested removal, but did not pay the renotice fee.
Pending	Pending SEC Approval	This status is applied when a firm has filed a notice filing with a state, but has not yet been approved by the SEC.
Transitioning	Awaiting Jurisdiction Verification	An initial status for firms that have indicated that they were approved as Notice filers with a state prior to the electronic system.
Withdrawn	Voluntary Withdrawal	Firm files an ADV-W before the SEC registration has been approved.

Direct Owners/Executive Officers

This section displays all current individuals and/or entities reported on Schedule A of Form ADV.

Click the **CRD#** or **SSN** hyperlink to view the individual owner's information in Web CRD.

Tip for Joint Broker-Dealer/Investment Adviser Firms: The Direct Owners/Executive Officers and Indirect Owners in IARD should match the list on the firm's BD record in Web CRD. If the list does not match, a Form ADV amendment filing may need to be filed to refresh the list of owners to reconcile changes made via Form BD.

  Printer Friendly

Direct Owners / Executive Officers

Organization CRD#: 0000				Primary Business Name: INVESTMENT ADVISER				
Organization SEC#: 801- 00000				Full Legal Name: INVESTMENT ADVISER, LLC.				
No BD Record				Electronic Filer				

Full Legal Name	Domestic, Foreign, Individual	Title or Status	Date Title or Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, IRS#, SSN	Has Disclosure
DOE, JOHN	Individual	CEO	08/2011	75% or more	Y	N	1111111	N
DOE, JANE	Individual	CCO	09/2011	25% but less than 50%	N	N	2222222	N

If the individual has a CRD# or SSN listed, click the hyperlink to access the individual's information in Web CRD. The owner's Web CRD record opens in a separate window.

In addition, entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as "xxx-xx-xxx" throughout the system. Click the SSN or "xxx-xx-xxx" hyperlink to access the individual's record.

NOTE: A hyperlink will not display for domestic or foreign entities that are listed in the Direct Owners/Executive Officers section.

Financial Industry Affiliations

This section displays information entered on Form ADV Item 7 and the corresponding Schedule D of section 7.A.

Click the **View** hyperlink in the applicable Financial Industry Affiliations table to display details about the affiliates as entered on Form ADV Schedule D, Section 7.A.

Financial Industry Affiliations				
Organization CRD#: 0000		Primary Business Name: INVESTMENT ADVISER		
Organization SEC#: 801- 00000		Full Legal Name: INVESTMENT ADVISER, LLC.		
No BD Record		Electronic Filer		
Types of Related Persons				
Broker-dealer, municipal securities dealer, or government securities broker or dealer				
Financial Industry Affiliations				
	Legal Name	Primary Business Name	CRD Number	SEC Number
View	ADVISER SERVICES, INC.	ADVISER DEALER SERVICES, INC.	00000	8-00000

Financial Industry Affiliations	
Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.
No BD Record	Electronic Filer
Legal Name	ADVISER DEALER SERVICES, INC.
Primary Business Name	ADVISER DEALER SERVICES, INC.
CRD Number	00000
SEC Number	8-00000
Related Person is	Broker-dealer, municipal securities dealer, or government securities broker or dealer

Private Fund Reporting

This section displays information entered on Form ADV Item 7 and the corresponding Schedule D sections 7.B.(1), and 7.B.(2). For SEC-registered firms, additional information about these private funds may need to be reported on Form PF. For more information about reporting private fund data on Form PF, please refer to <http://www.iard.com/pfrd/usersupport.asp>.

Click the **View** hyperlink in the applicable Private Fund Reporting table to display details about the private fund as entered on Form ADV Schedule D, Section 7.B.(1) or 7..B.(2).

Private Fund Reporting		
Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER	
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.	
No BD Record	Electronic Filer	
Private Fund Reporting Are you an adviser to any private fund? <input type="text" value="Y"/>		
Private Fund Reporting 7.B.(1)		
Private Fund Name	Private Fund Identification Number	Type of Private Fund
View SAMPLE FUND	805-5431974119	Private Equity Fund
Private Fund Reporting 7.B.(2) No Records Found.		

Private Fund Reporting 7.B.(1)	
Organization CRD#: 0000	Primary Business Name: INVESTMENT ADVISER
Organization SEC#: 801- 00000	Full Legal Name: INVESTMENT ADVISER, LLC.
No BD Record	Electronic Filer
1.(a) Name of Private Fund SAMPLE FUND	
1.(b) Private Fund Identification Number 805-5431974119	
2. Laws of state or country the private fund is organized in Ohio UNITED STATES	
3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity) JOHN DOE	
4. Company Act 3(c)(1) Exclusion Y	
Company Act 3(c)(7) Exclusion N	

Filing History

This section displays all Form ADV and Form ADV-W filings submitted by the firm. The filing history also includes any Form U6 filings submitted by regulators.

Click the **Filing ID** hyperlink to view a read-only copy of the filing. Changes made on the filing will display in red. Please note that redlining does not display across form versions.

Filing History				
Organization CRD#: 0000		Primary Business Name: INVESTMENT ADVISER		
Organization SEC#: 801- 00000		Full Legal Name: INVESTMENT ADVISER, LLC.		
No BD Record		Electronic Filer		
Filing ID	Form Type	Filing Types	Filing Date	Section Changed
558656	ADV	Other-Than-Annual Amendment	09/27/2011	Part 1B Business Information
558108	ADV	Annual Amendment (12/2010)	09/26/2011	SEC Registration, Information About Your Advisory Business, ADV Part 2

You can choose to print a specific page or the entire filing. To print the entire form filing select **All Sections** from the navigation panel. Otherwise, select the Form ADV Item you wish to print.

Click the **Printer Friendly** icon located on the right side of the screen to print.

IARD™	
CRD Main	IARD Main
Forms	Organization E-Bill Reports
Form ADV	Form ADV-W Form ADV-E
<div> <div> View Form ADV </div> <div> <div> All Sections </div> <div> Item 1 Identifying Information </div> <div> Item 3 Form of Organization </div> <div> Item 4 Successions </div> <div> Item 5 Information About Your Advisory Business </div> <div> Item 6 Other Business Activities </div> <div> Item 7.A. Financial Industry Affiliations </div> <div> Item 7.B. Private Fund Reporting </div> <div> Item 8 Participation or </div> </div> <div> <div> FORM ADV </div> <div> UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS </div> <div> <div> Primary Business Name: INVESTMENT ADVISER </div> <div> CRD Number: 00000 </div> </div> <div> <div> Annual Amendment - All Sections </div> <div> 9/28/2015 3:30:01 PM </div> </div> <div> <div> WARNING: Complete this form truthfully. False statements or omissions may result in denial of your application, revocation of your registration, or criminal prosecution. You must keep this form updated by filing periodic amendments. See Form ADV General Instruction 4. </div> <div> Item 1 Identifying Information </div> <div> Responses to this Item tell us who you are, where you are doing business, and how we can contact you. </div> <div> A. Your full legal name (if you are a sole proprietor, your last, first, and middle names): </div> </div> </div> </div>	