

Investment Adviser Name _____ Date _____ Number NY IA Clients _____

**COVERSHEET TO ACCOMPANY INVESTMENT ADVISER FORMS
REGISTRATION YEAR ENDING DECEMBER 31, 20__**

PLEASE CHECK APPROPRIATE BOX(ES) AND PROVIDE THE REQUIRED ITEMS

[] NY Initial Registration

The following items are required:

- 1) \$200 filing fee using the IARD system.
- 2) Application (ADV) filed using the IARD system.
- 3) Balance sheet dated as of investment adviser's fiscal/calendar year-end and if not within 90 days of filing also submit an interim statement which is dated within the last 90 days. An income statement dated for the year ending your last fiscal/calendar year-end. Affix the following language to each statement: "I do hereby certify that this is a true and complete financial statement" followed by an authorized signature (or attach a CPA's Audit report) submitted to address below.
Email to IPBIA@ag.ny.gov.
- 4) Form U4 submitted through CRD and other documentation for NYCRR §11.7, including *Form NY-IASW only if applying for a waiver under 11.7(b)*.

[] 20__ NY Annual Renewal

- 1) \$200 filing fee through the IARD system.
- 2) Balance sheet and income statement dated as of investment adviser's fiscal/calendar year-end and an income statement dated year ending the investment adviser's fiscal/calendar year-end submitted to the address below. Affix the following language to each statement: "I do hereby certify that this is a true and complete financial statement" followed by an authorized signature (or attach a CPA's Audit report).
Email to IPBREG@ag.ny.gov
- 3) An annual updating amendment to the IARD system including an updated Part 2 of the ADV.

[] NY Registration Amendment

The following items are required within 30 days of the event or action:

- 1) Amend the IARD system.

[] Conversion from Federal Status

same requirements as NY initial registration

SEC REGISTERED INVESTMENT ADVISERS NOTICE FILINGS

[] Initial Filing must be filed electronically by the IARD system. The fee is \$200.

Part 2 must be uploaded to the IARD system.

[] Annual Renewal

\$200 to this office if not already paid by the IARD system.

[] Amendment

Amend the IARD system within 30 days of the event or action.

[] Conversion to Federal Status

same requirements as initial notice filing

The mailing address for filings to be made directly with New York is:

**New York State Department of Law
Investor Protection Bureau
Investment Adviser Unit
28 Liberty Street, 21st Floor
New York, NY 10005**

If you have any questions, call the Investment Adviser Unit at (212) 416-8222