

# **Notice to State-Licensed Investment Advisers**

## **Submission of Form ADV Part II Through the IARD System**

### **1. Web CRD/IARD Release 9.0**

A new Web CRD/IARD software release, Release 9.0, was implemented on Monday, April 23, 2007. As a result of this release investment advisers are now able to submit the current Form ADV Part II through the IARD System.

A Guide for Electronic Filing of the ADV Part II

[http://www.nasaa.org/industry\\_regulatory\\_resources/uniform\\_forms/2268.cfm](http://www.nasaa.org/industry_regulatory_resources/uniform_forms/2268.cfm)

### **2. Submission of Form ADV Part II in IARD**

Form ADV Part II may now be submitted to IARD as a searchable text, portable document format (PDF) file. Guidance on how to do this is available on the IARD website.

Form ADV Part 2 (IARD System Instructions)

<http://www.iard.com/part2instructions.asp>

### **3. Editable Version of Form ADV Part II**

A free editable PDF version of the current Form ADV Part II is available through the Maine Office of Securities website.

Maine Office of Securities

[www.Investors.Maine.gov](http://www.Investors.Maine.gov)

A Guide for Electronic Filing of the ADV Part II

Form ADV Part II with 5-page Schedule F

Form ADV Part II with 15-page Schedule F

Form ADV Part II with 25-page Schedule F

Form ADV Part II Schedule G

Form ADV Part II Schedule H

#### **4. Adobe Reader**

The editable PDF versions of the current Form ADV Part II available through the Office of Securities website may be completed and saved using the free Adobe Reader available on the Adobe website.

Adobe Reader

<http://www.adobe.com/products/acrobat/readstep2.html>

#### **5. Full PDF Software**

State-licensed investment advisers that have full PDF software may use that software to complete the editable Form ADV Part II available through the Office of Securities website or may convert other versions of the current Form ADV Part II to PDF using their full PDF software.

#### **6. Submission of Form ADV Part II by Current Licensees**

In lieu of sending paper filings to the Office of Securities, current Maine licensed investment advisers should submit Form ADV Part II through IARD when material changes become necessary. However, all Maine licensed investment advisers must submit an electronic version of Form ADV Part II through IARD by January 15, 2008.

#### **7. Submission of Form ADV Part II by Initial Applicants**

Initial applicants for investment adviser licensing in Maine are now required to submit Form ADV Part II through IARD with their initial filings.

#### **8. Proposed Amendments to Form ADV**

The Securities and Exchange Commission (SEC) has proposed to amend Form ADV to replace the current Part II with a narrative text document but the proposal has been not yet been adopted. Information relating to this proposal may be viewed on the SEC's website.

SEC - Release No. IA-1862; 34-42620; File No. S7-10-00

Electronic Filing by Investment Advisers; Proposed Amendments to Form ADV

<http://www.sec.gov/rules/proposed/34-42620.htm#link7>

## **9. Web CRD/IARD Release Notes**

For an overview of all changes that have occurred for firms with Web CRD/IARD software release, Release 9.0, please see the 9.0 Release Notes on NASD's website.

Web CRD Release Notes

<http://www.nasd.com/RegulatorySystems/CRD/UserSupport/ReleaseNotes/index.htm>

## **10. Obtain an Electronic Copy of this Notice**

Questions relating to the submission of Form ADV Part II in IARD should be directed to Billie-Jo Rodgers, Licensing Coordinator, at 207-624-8551 or e-mail at [Billie-Jo.A.Rodgers@Maine.gov](mailto:Billie-Jo.A.Rodgers@Maine.gov). An electronic copy of this notice is available on the Maine Office of Securities Website under "News and Alerts".