

Part II is the section of Form ADV that contains information about Investment Adviser firms and the type of business they conduct. Firms are required to provide Part II of Form ADV to existing and prospective clients. Jurisdictions may also require Investment Adviser firms to submit Part II of Form ADV or a brochure containing at least the same required information. A firm that offers substantially different types of advisory services has the option to prepare separate brochures for each service, as long as, each client receives all information about the services and fees that are applicable to that client.

For purposes of the IARDSM system, Part II of the Form ADV is referred to as the "Brochure." Whether submitting Part II of Form ADV or a Brochure, the document must be converted to a text-searchable PDF file before submission to the IARD system. Access IARD at <https://crd.finra.org/iad>.

This navigation guide provides instructions on how to:

- Submit Part II of Form ADV
- Amend, Retire, and Confirm a Brochure
- View Brochure Status
- View Brochure Filing History
- Perform a Brochure Search

Submitting a Brochure

1. From the **Forms** section of the IARD Site Map, click the appropriate Form ADV filing type. (e.g., Submit an other-than-annual amendment to your registration).

NOTE: The ADV Part 2 Guidance section contains links to IARD system instructions on www.iard.com and filing guidance pages on www.nasaa.org and www.sec.gov.

Select ADV Filing

- **New Filing**
- Pending Filing
- Historical Filing

ADV - New Filing

Existing registrants click here for important information regarding your first IARD filing.

Transition:

- [Submit Transition Notice Filings](#)
- [Submit Transition Registrations](#)

ADV Filing Types:

- [Apply for registration as an investment adviser with the SEC](#)
- [Apply for registration as an investment adviser with one or more states](#)
- [Submit an annual updating amendment to your registration for your fiscal year ended December,](#)
- [Submit an other-than-annual amendment to your registration](#)

ADV Part 2 Guidance:

- [IARD System Instructions](#)
- [SEC-Registered Advisers](#)
- [State-Registered Advisers](#)

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

2. Click on the **Part 2** hyperlink in the navigation panel to display the *Part 2 Brochure Filing* screen.
3. Click **Create New Brochure**.

Submission

- Completeness Check
- Submit Filing
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM Reference #:911059063952A3C

Part 2 Brochure Filing

Amend, retire or file new brochures:

Create New Brochure

Previous Save Next Reset

4. Complete the following required fields:
 - Brochure Name
 - Brochure Types
5. Click **Save**.
6. Click **Part 2** from the navigation panel.

Submission

- Completeness Check
- Submit Filing
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM Reference #:911059063952A3C

New Brochure

Brochure ID:

Brochure Name:

Brochure Description:

Brochure Types (Select all that apply):

☒ Individuals ☐ High net worth individuals

☐ Pension plans/profit sharing plans ☐ Pension consulting

☐ Foundations/charities ☐ Government/municipal

☐ Other institutional ☐ Private funds or pools

☐ Wrap program ☐ Financial Planning Services

☐ Selection of Other Advisers/Solicitors

☐ Other

Save Reset

NOTE: If **Other** is selected as the Brochure Type, a text box displays, prompting you to specify the brochure type.

Prior to submission, firm users have the option to delete a new brochure by selecting the **Delete** hyperlink and then clicking **OK** when the following message displays: "Are you sure you want to delete this brochure?"

7. Click **Submit Filing** from the navigation panel.

Submission

- Completeness Check
- Submit Filing**
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM Reference #:911059063952A3C

Part 2 Brochure Filing

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Action
-	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	New Delete

Create New Brochure

Previous Save Next Reset

NOTE: The **Update/Retire** radio buttons are only available for brochures previously submitted.

All Completeness Check Errors must be cleared prior to submission.

Submission

- Completeness Check
- Submit Filing**
- Print Preview

Form ADV

- Instructions
- Item 1 Identifying Information
- Item 2 SEC Registration
- Item 3 Form of Organization
- Item 4 Successions
- Item 5 Information

SECURITIES FIRM Reference #:911059063952A3C

Submit Filing

This filing cannot be submitted, due to the following completeness errors:

Error Location	Error Description
Domestic Investment Adviser Execution	Domestic Execution must be completed

⚠ Please double-check the contact employee information you have provided in Item 1.J., especially the contact employee e-mail address, to ensure that it is current. You are required to amend this information promptly if it becomes inaccurate in any way.

⚠ One or more individual names have changed since your last filing.

⚠ Reminder: Passing a completeness check does not relieve an investment adviser of its legal and regulatory obligation to file accurate and complete information in a timely manner with the appropriate authorities.

8. From the *Submission* screen, click **Browse** to locate the brochure on your computer. The *Submission* screen will only display once all completeness checks have been passed.

Submission

- Completeness Check
- Submit Filing**
- Print Preview

Form ADV

- Instructions
- Item 1 Identifying Information
- Item 2 SEC Registration
- Item 3 Form of Organization
- Item 4 Successions
- Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation
- Item 5 Information About Your Advisory Business - Assets Under Management
- Item 5 Information About Your Advisory

SECURITIES FIRM Reference #:910490962152A3B

Submit Filing

ADV on-line completeness checks passed successfully.

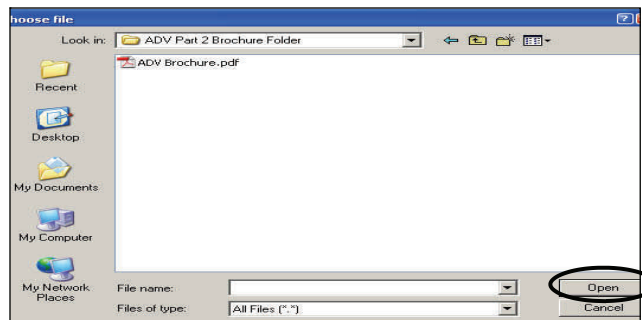
There are no Accounting Charges for this Filing.

Part 2 Brochures:

BROCHURE UPLOAD				
Brochure ID	Brochure Name	Brochure Type(s)	Action	Filename
-	ADV PART II BROCHURE	Individuals	New	<input type="text"/> Browse...

Submit Filing

9. Select the appropriate brochure and click **Open**. Once a Brochure is submitted to the IARD system, it will be made available to the public via the IAPD system; therefore, users should ensure they are attaching the correct file prior to submission.



After the upload is complete, the File name field is populated with the location of the brochure, as shown on the screen below.

10. Click **Submit Filing**.

Submission

- Completeness Check
- Submit Filing**
- Print Preview

Form ADV

- Instructions
- Item 1 Identifying Information
- Item 2 SEC Registration
- Item 3 Form of Organization
- Item 4 Successions
- Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation
- Item 5 Information About Your Advisory Business - Assets Under Management
- Item 5 Information About Your Advisory

SECURITIES FIRM Reference #:911059063952A3C

Submit Filing

ADV on-line completeness checks passed successfully.

There are no Accounting Charges for this Filing.

Part 2 Brochures:

BROCHURE UPLOAD				
Brochure ID	Brochure Name	Brochure Type(s)	Action	Filename
-	ADV PART II BROCHURE	Individuals	New	C:\Documents and Settings\Desktop\ADV Brochure.pdf Browse...

Submit Filing

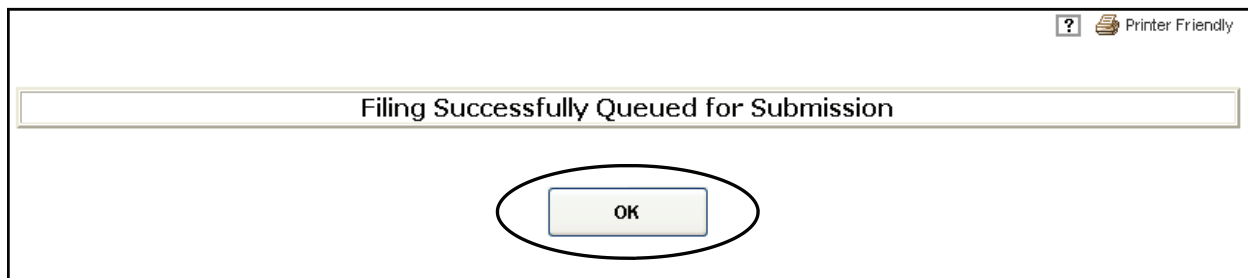
The following warning message displays after the Submit Filing button has been clicked:



11. Click **OK**.

A screen displays, notifying the user that the filing has been queued for submission.

12. Click **OK**.



Brochures must be in a PDF format. If the file does not meet this requirement, the following error message displays.

SECURITIES FIRM				Reference #:911490288152A3F	
Submit Filing					
ADV on-line completeness checks passed successfully.					
There are no Accounting Charges for this Filing.					
Part 2 Brochures:					
PROBLEMS ENCOUNTERED DURING BROCHURE UPLOAD					
Brochure Name			Error Description		
ADV PART II BROCHURE			Each brochure must be in PDF format		
BROCHURE UPLOAD					
Brochure ID	Brochure Name	Brochure Type(s)	Action	Filename	
-	ADV PART II BROCHURE	Individuals	New	<input type="text"/> <input type="button" value="Browse..."/>	
<input type="button" value="Submit Filing"/>					

Brochures must also be in a searchable text format. If the file does not meet this requirement, the following message displays.

SECURITIES FIRM		Reference #:911490288152A3F
Submit Filing		
ADV on-line completeness checks passed successfully.		
There are no Accounting Charges for this Filing.		
Part 2 Brochures:		
PROBLEMS ENCOUNTERED DURING BROCHURE UPLOAD		
Brochure Name	Error Description	
ADV PART II BROCHURE	This brochure does not contain searchable text. The IARD does not accept files that are imaged in their entirety, such as a file containing a scanned version of a paper brochure	
BROCHURE UPLOAD		
Brochure ID	Brochure Name	Brochure Type(s)
-	ADV PART II BROCHURE	Individuals
		Action
		New
		<input type="text"/> <input type="button" value="Browse..."/>
<input type="button" value="Submit Filing"/>		

Amending a Brochure

The Amend brochure option allows a firm to update their Brochure Name, Brochure Description, and/or Brochure Type for a brochure that is already on file. Prior to submission, the firm will be able to upload the updated version of the brochure.

To amend a brochure complete the following steps:

1. Access the appropriate ADV filing (e.g., Other than Annual Amendment).
2. Click **Part 2** hyperlink from the navigation panel.
3. Click the **Update** Radio button.
3. If applicable, click the appropriate **Brochure Name** hyperlink to amend the Brochure Name, Brochure Type and/or Brochure Description.

Submission		SECURITIES FIRM		Reference #:911768946452A41
<ul style="list-style-type: none"> Completeness Check Submit Filing Print Preview 		The information was saved.		
Form ADV - Part 2 <ul style="list-style-type: none"> IARD System Instructions State-Registered Adviser Guidance SEC-Registered Adviser Guidance Part 2 Return To Form ADV, Part 1 		Part 2 Brochure Filing		
Amend, retire or file new brochures:				
Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input type="radio"/>
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input checked="" type="radio"/>	<input type="radio"/>
			<input type="button" value="Amend"/>	<input type="button" value="Cancel"/>
<input type="button" value="Create New Brochure"/>				
<input type="button" value="Previous"/> <input type="button" value="Save"/> <input type="button" value="Next"/> <input type="button" value="Reset"/>				

4. Enter the updated information.
5. Click **Save**.
6. Attach and submit the latest version of the brochure. Refer to the Submitting a Brochure section on page 1 for steps on how to attach a brochure and submit a Part II filing.

NOTE: The Update radio button is automatically selected once the Brochure information is updated and saved.

Prior to submission, firm users have the option to cancel an amendment to a brochure by selecting the **Cancel** hyperlink and then clicking **Save** when the following message displays: "Are you sure you want to cancel this brochure edit?" Click the **Brochure ID** hyperlink to view the latest version of the brochure.

Retiring a Brochure

For firms with multiple brochures on file, the **Retire** brochure option allows a firm to retire brochures describing advisory services that are no longer offered to clients. If a firm has a single brochure, updates must be made by amending the brochure as described on page 6.

1. Access the appropriate ADV filing (e.g., Other than Annual Amendment).
2. Click the **Part 2** hyperlink from the navigation panel.
3. Click the **Retire** radio button associated with the brochure you wish to retire.

The information was saved. Reference #: 922894876152A42

SECURITIES FIRM
Part 2 Brochure Filing

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Action
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	No Change
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input type="radio"/>	<input type="radio"/>	No Change
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input checked="" type="radio"/>	Retire Cancel

Create New Brochure

Previous Save Next Reset

4. Click **Save**.
5. Submit Form ADV Filing.

Prior to submission, firm users have the option to cancel a request to retire a brochure by selecting the **Cancel** hyperlink and then clicking **Save** when the following message displays: "Are you sure you want to cancel this brochure edit?"

NOTE: The IARD system will not allow you to retire all of your firm's brochures or the last brochure on file on a Form ADV filing. The system will retire all brochures on file for your firm upon submission of a Form ADV-W filing.

Confirming a Brochure

The Confirm brochure option is only available when a firm files its Annual Amendment. This allows the firm to confirm that the brochures on file are still current without having to upload a new version. Upon submission of the filing, the system will not prompt the firm to upload a new version of the brochure.

1. Access the appropriate ADV filing (e.g., Annual Amendment).
2. Click the **Part 2** hyperlink from the navigation panel.
3. Verify that the brochure on file is up to date. Clicking the **Brochure ID** hyperlink associated with the specific brochure to review the current version.

4. Select the **Confirm** radio button.

The information was saved. Reference #: 923435916152A43

SECURITIES FIRM
Part 2 Brochure Filing

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Confirm	Action
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	No Change
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	No Change
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Confirm Cancel

Create New Brochure

Previous Save Next Reset

5. Click **Save**.

6. Submit Form ADV Filing.

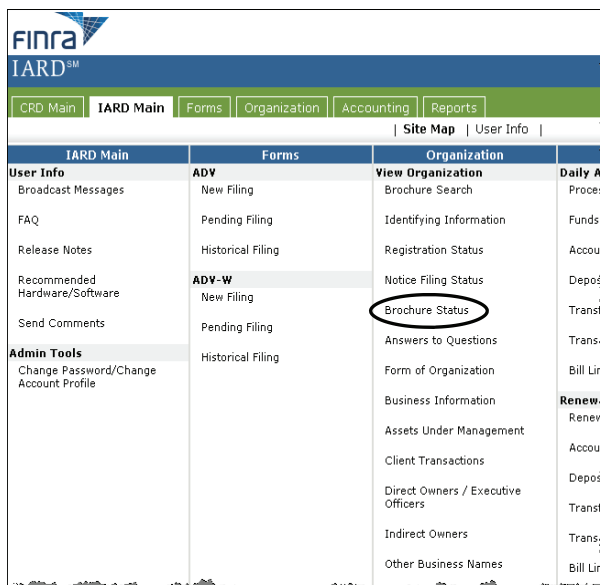
Viewing a Brochure Status

There are 2 ways to access Brochure Status information:

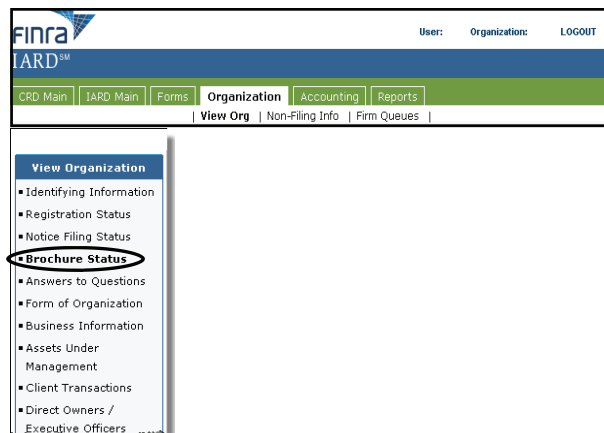
- From the Organization section of the IARD Site Map, click **Brochure Status**.

OR

- Click on the **Organization** tab on the toolbar.



- Click the **Brochure Status** hyperlink from the navigation panel.



2. Click the **Brochure Name** hyperlink to view Brochure Jurisdiction Status.

? Printer Friendly

Brochure Status						
Organization CRD#: 0000		Primary Business Name: SECURITIES FIRM				
Organization SEC#:		Full Legal Name: SECURITIES FIRM				
View BD Record		Electronic Filer				
Brochure ID	Brochure Name	Brochure Type(s)	Last Change Date	Brochure Filing Status	Last Version Number	
9369	ADV PART II BROCHURE	Individuals	07/17/2008	New	1	
9370	PENSION BROCHURE	Pension consulting	07/17/2008	New	1	
9371	HIGH NET WORTH BROCHURE	High net worth individuals	07/17/2008	New	1	

3. Click the **Jurisdiction** hyperlink to view the Brochure Jurisdiction Status history.

? Printer Friendly

Brochure Jurisdiction Status		
Organization CRD#: SECURITIES FIRM		Primary Business Name: SECURITIES FIRM
Organization SEC#:		Full Legal Name:
No BD Record		Electronic Filer
Brochure ID:	9369	
Brochure Name:	ADV Part II Brochure	
Brochure Type(s):	Individuals	
Current Brochure Filing Status:	New	
Version Number:	1	
Jurisdiction	Current Brochure Jurisdiction Status	Status Effective Date
California	Accepted	07/18/2005
Tennessee	Delivered	07/17/2005

The *Brochure Jurisdiction Status History* screen displays.

? Printer Friendly

Brochure Jurisdiction Status History		
Organization CRD#: 0000		Primary Business Name: SECURITIES FIRM
Organization SEC#:		Full Legal Name: SECURITIES FIRM
No BD Record		Electronic Filer
Brochure ID:	9369	
Brochure Name:	ADV Part II Brochure	
Brochure Type(s):	Individuals	
Current Brochure Filing Status:	New	
Jurisdiction:	California	
Version	Status Effective Date	Brochure Jurisdiction Status
1	07/18/2008	Accepted
1	07/17/2008	No Status

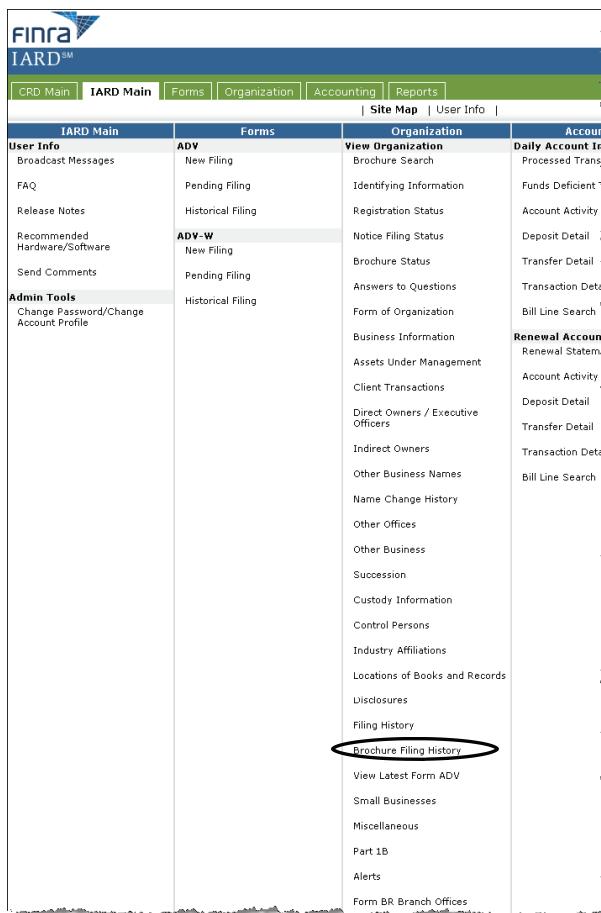
Viewing a Brochure Filing History

There are 2 ways to access Brochure Filing History information:

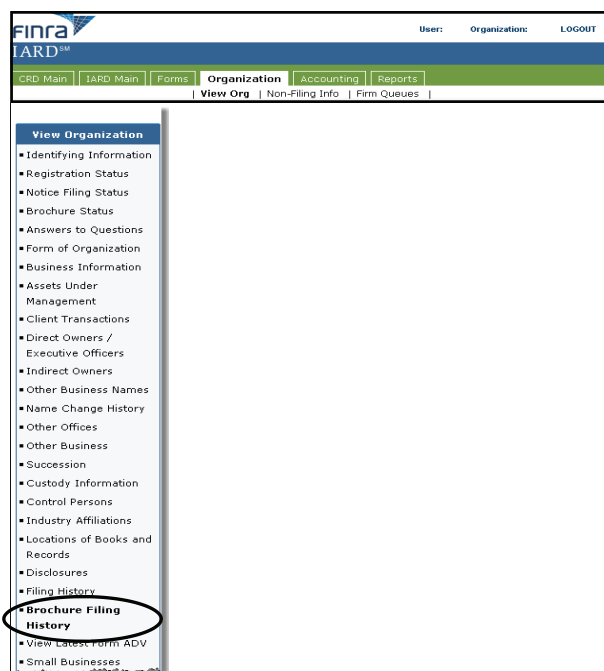
1. From the Organization section of the IARD Site Map, click the **Brochure Filing History** hyperlink.

OR

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



- 1b Click the **Brochure Filing History** hyperlink from the navigation panel



2. Click the **Brochure Name** hyperlink to view the *Brochure Filing History Detail* screen.

View Organization

- Identifying Information
- Registration Status
- Notice Filing Status
- Brochure Status
- Answers to Questions
- Form of Organization
- Business Information
- Assets Under Management
- Client Transactions
- Direct Owners / Executive Officers
- Indirect Owners

Brochure Filing History

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

Brochure ID	Brochure Name	Brochure Type	Last Filing Date	Last Version Number
9369	ADV PART II BROCHURE	Individuals	07/18/2008	3
9370	PENSION BROCHURE	Pension consulting	07/17/2008	1
9371	HIGH NET WORTH BROCHURE	High net worth individuals	07/17/2008	1

TIP: Click on the **Version Number** hyperlink to view the PDF version of the brochure.

? Printer Friendly

View Organization

- Identifying Information
- Registration Status
- Notice Filing Status
- Brochure Status
- Answers to Questions
- Form of Organization
- Business Information
- Assets Under Management
- Client Transactions
- Direct Owners / Executive Officers
- Indirect Owners
- Other Business Names
- Name Change History

Brochure Filing History Detail

Organization CRD#: 0000		Primary Business Name: SECURITIES FIRM		
Organization SEC#:		Full Legal Name: SECURITIES FIRM		
View BD Record		Electronic Filer		
Brochure ID:	9369			
Brochure Name:	ADV PART II BROCHURE			
Brochure Type(s):	Individuals			
Current Brochure Filing Status:	Amended			
Filing Date	Filing ID	Form ADV Filing Type	Brochure Status on Filing	Version Number
07/18/2008	338501	Amendment	Amended	3
04/01/2008	338500	Amendment	Amended	2
02/15/2008	338494	Amendment	New	1

Performing a Brochure Search

The Brochure Search functionality allows a firm to search for text within the brochure submitted by the firm. The metadata (Brochure Name and Brochure Description) is not included in the search.

1. From the Organization section of the IARD Site Map, click the **Brochure Search** hyperlink.

User: Organization: LOGOUT

[CRD Main](#) | [IARD Main](#) | [Forms](#) | [Organization](#) | [Accounting](#) | [Reports](#)

[Site Map](#) | [User Info](#)

IARD Main	Forms	Organization	Accounting	Reports
User Info	ADV	View Organization	Daily Account Information	Home
Broadcast Messages	New Filing	Brochure Search	Processed Transactions	Request Report
FAQ	Pending Filing	Identifying Information	Funds Deficient Transactions	View Report
Release Notes	Historical Filing	Registration Status	Account Activity Summary	
Recommended Hardware/Software	ADV-W	Notice Filing Status	Deposit Detail	
Send Comments	New Filing	Brochure Status	Transfer Detail	
	Pending Filing			

2. Enter search criteria.
3. Click **Search**.

The Search field is a required field

Brochure Search ? Printer Friendly

Search: [Search tips](#)

Advanced Search:

Date Range:

After:

Before:

Miscellaneous:

☐ Include most recent brochures only

Brochure Type(Select all that apply):

☐ Individuals ☐ High net worth individuals

☐ Pension plans/profit sharing plans ☐ Pension consulting

☐ Foundations/charities ☐ Government/municipal

☐ Other institutional ☐ Private funds or pools

☐ Wrap program ☐ Financial Planning Services

☐ Selection of Other Advisers/Solicitors ☐ Other

The *Brochure Search Results* screen displays.

Organization Search ? Printer Friendly

Brochure Search Results

Search string used: **Part II**

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Page 1 of 1

Brochure ID	Brochure Name	Organization Name	Organization CRD#	SEC #	Brochure Version	Brochure Filing Status	RANK
9369	ADV PART II BROCHURE	SECURITIES FIRM	0000		1	Amended	65%
9371	HIGH NET WORTH BROCHURE	SECURITIES FIRM	0000		1	New	65%
9370	PENSION BROCHURE	SECURITIES FIRM	0000		1	New	65%

<< Previous Next >>

Page 1 of 1

NOTE: Users can view the PDF brochure by clicking the Brochure Version hyperlink. To find specific text within the brochure perform a text search within the document.

Additional Resources

Snapshot – IA Firm Report

Part II information was added to the Snapshot - IA Firm report. Firm users will be able to include or exclude ADV Part II information in the report parameters.