

Part 2 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 2 of Form ADV to existing and prospective clients. All SEC-registered and some state-registered Investment Adviser firms are required to submit Part 2 of Form ADV online through the IARD™ system. 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 IARD system, Part 2 of the Form ADV is referred to as the "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 2 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.

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

Please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun.

SECURITIES FIRM Reference #:84191241735AD07

Part 2 Brochure Filing

Amend, retire or file new brochures:

Create New Brochure

Next Save Reset Previous

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

Complete and save the information below in order to add a brochure as part of this filing (please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun).

SECURITIES FIRM Reference #:84191241735AD07

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 plans

☐ 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. Also, after clicking **Save**, an additional pop-up message will display if the firm does not have a brochure in the IARD system to clarify when brochures are attached and processed as part of the filing.

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

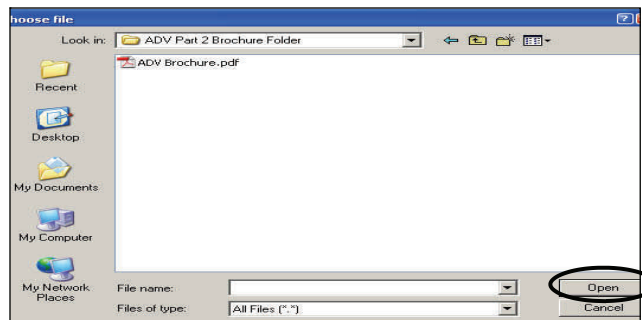
This filing cannot be submitted, due to the following completeness errors:

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

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.

The screenshot shows the 'Submission' screen with a left sidebar containing 'Submission' and 'Form ADV' sections. The main area displays a message: 'ADV on-line completeness checks passed successfully.' Below this, it states 'There are no Accounting Charges for this Filing.' A table titled 'BROCHURE UPLOAD' is visible, with columns for Brochure ID, Brochure Name, Brochure Type(s), Action, and Filename. The table contains one row with a hyphen in the ID, 'ADV PART II BROCHURE' in the name, 'Individuals' in the type, and 'New' in the action. A 'Browse...' button is circled next to the Filename field. A 'Submit Filing' button is at the bottom.

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**.

The screenshot shows the 'Submission' screen after the brochure has been uploaded. The 'BROCHURE UPLOAD' table now shows the 'Filename' as 'C:\Documents and Settings\Desktop\ADV Brochure.pdf'. The 'Submit Filing' button is circled.

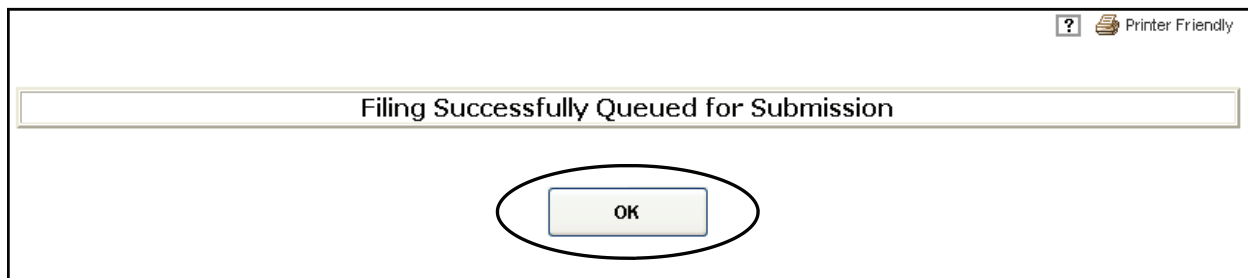
The following warning message displays after the Submit Filing button has been clicked:



11. Click **OK**.

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

12. Click **OK**.



Brochures must be in PDF format and must be text-searchable. 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	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)	Action	Filename
-	ADV PART II BROCHURE	Individuals	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.

The screenshot shows the 'Form ADV - Part 2' interface. On the left is a navigation panel with 'Part 2' circled. The main area displays a table of brochures with the 'Update' radio button selected for the 'HIGH NET WORTH BROCHURE' (ID 9371). A message at the top states 'The information was saved.' and a reference number is provided.

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

Buttons at the bottom: Previous, Save, Next, 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 2 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.

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

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.

FINRA IARD™

User: [Name] Org: [Name]

CRD Main | IARD Main | Forms | Organization | Accounting | Reports

Site Map | User Info |

IARD Main	Forms	Organization	Accounting
User Info	ADV	View Organization	Daily Account Information
FAQ	New Filing	Brochure Search	Processed Transactions
Release Notes	Pending Filing	Identifying Information	Funds Deficient Transactions
Recommended Hardware/Software	Historical Filing	Registration Status	Account Activity Summary
Send Comments	ADV-W	Notice Filing Status	Deposit Detail
	New Filing	Brochure Status	Transfer Detail
	Pending Filing	Answers to Questions	Transaction Detail
Admin Tools	Historical Filing	Form of Organization	Bill Line Search
Change Password/Change Account Profile	ADV-E	Business Information	Assets Under Management
	New Filing	Assets Under Management	Renewal Account Information
	Historical Filing	Client Transactions	Renewal Statement
		Direct Owners / Executive Officers	Account Activity Summary
		Indirect Owners	Deposit Detail
		Other Business Names	Transfer Detail

FINRA IARD™

User: [Name] Organization: [Name] LOGOUT

CRD Main | IARD Main | Forms | Organization | Accounting | Reports

View Org | Non-Filing Info | Firm Queues |

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

FINRA IARD™

User: [Name] Organization: [Name] LOGOUT

CRD Main | IARD Main | Forms | Organization | Accounting | Reports

View Org | Non-Filing Info | Firm Queues |

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

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	

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

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

Quick Search

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 /

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

Quick Search

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 /

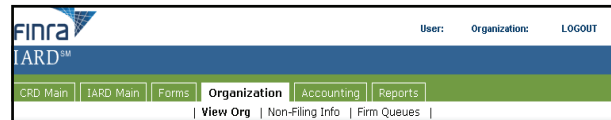
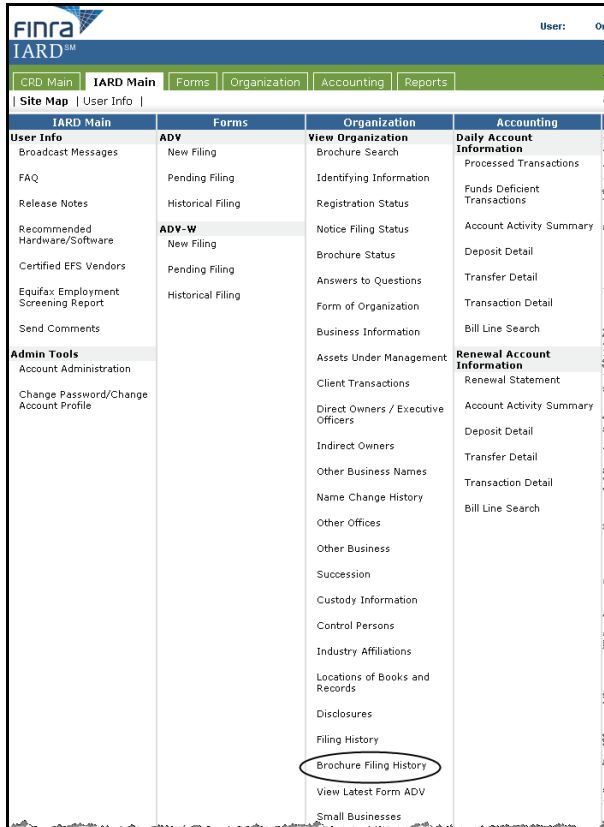
Viewing a Brochure Filing History

There are 2 ways to access Brochure Filing History information:

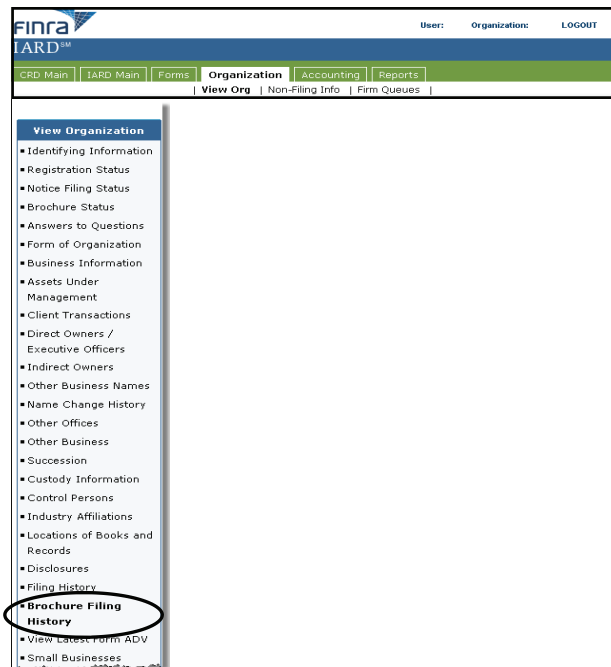
1. From the Organization section of the IARD Site Map, click the **Brochure Filing History** hyperlink.

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.

- 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

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.

Brochure Search Results

Organization Search

Search string used: **Part II**

<< Previous Next >>

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 2 information was added to the Snapshot - IA Firm report. Firm users will be able to include or exclude ADV Part 2 information in the report parameters.