IARD | **Form ADV-NR**

About Form ADV-NR

Form ADV-NR may be required to be submitted or amended in certain circumstances (click here for instructions). Form ADV-NR is accessed through the FINRA Gateway, FINRA's new compliance platform. This guide is meant to provide navigational assistance for filers. For policy questions related to Form ADV-NR, please reach out to the SEC at iardlive@sec.gov.

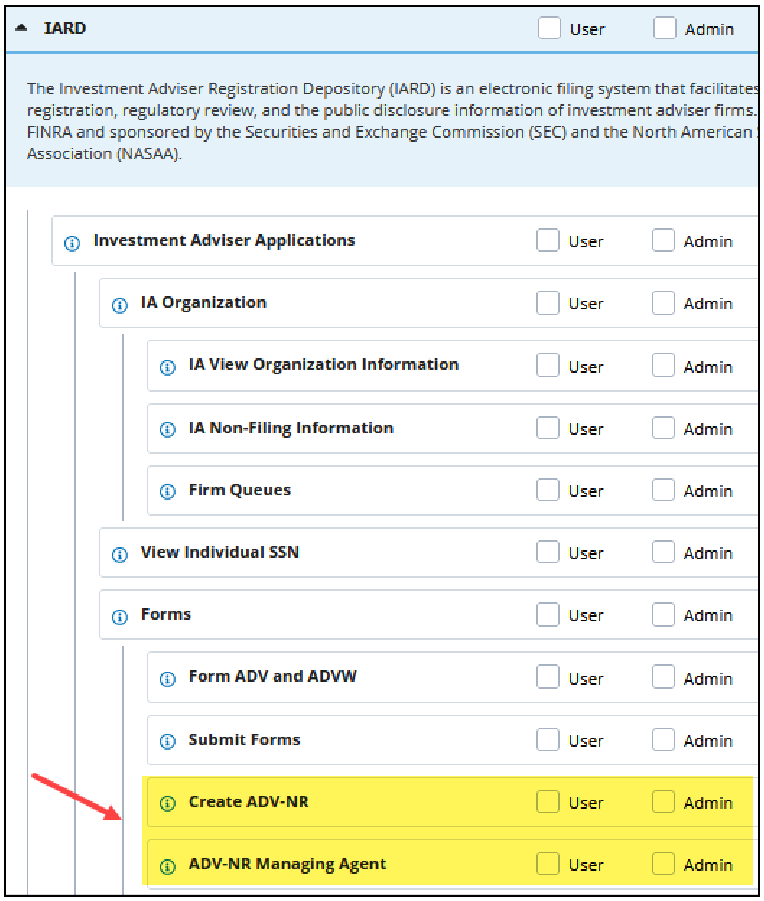
Contents:

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

Form ADV-NR Entitlement

The firm’s Super Account Administrator (SAA) is able to grant entitlement to those to require it. When granting entitlement, there are two options:

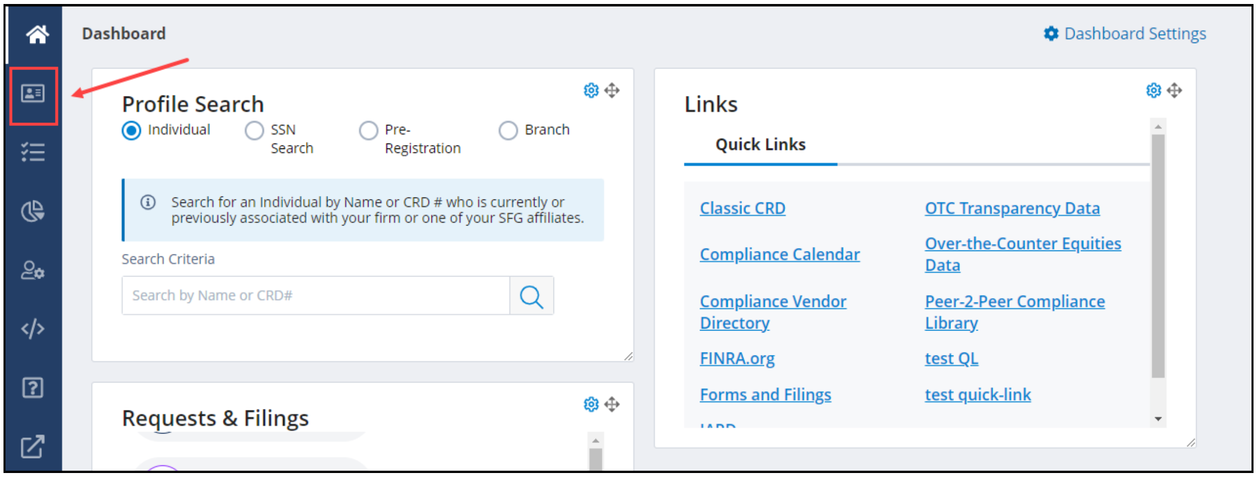
- Create ADV-NR: Used by the investment adviser to create and save the form.
- ADV-NR Managing Agent: Used by the non-resident to complete and submit the form.



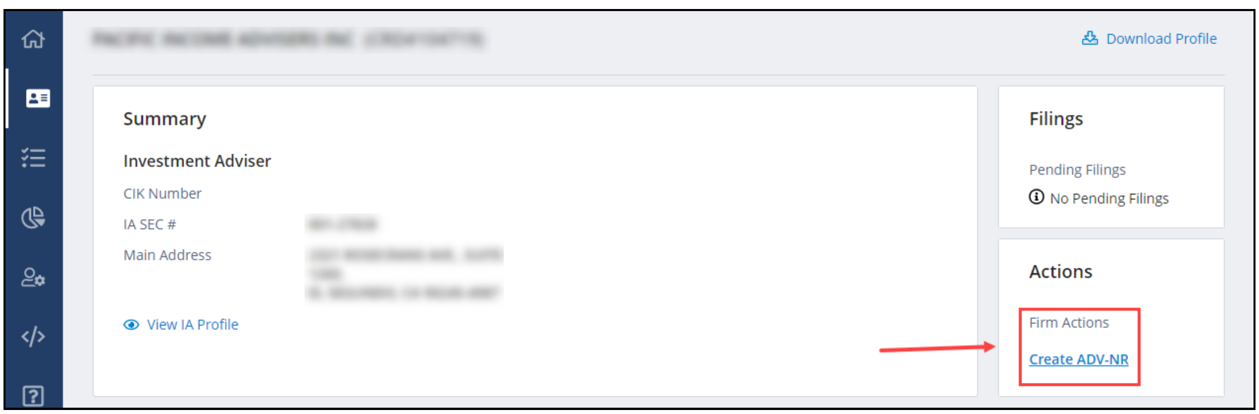
Tip: It is possible for the same user to have both entitlements. For the purposes of this guide, a scenario with separate accounts will be used.

Completing Investment Adviser Section of Form ADV-NR

The user with entitlement to create ADV-NR should access the newly designed FINRA Gateway at https://gateway.finra.org and navigate to **Profiles** as shown below.

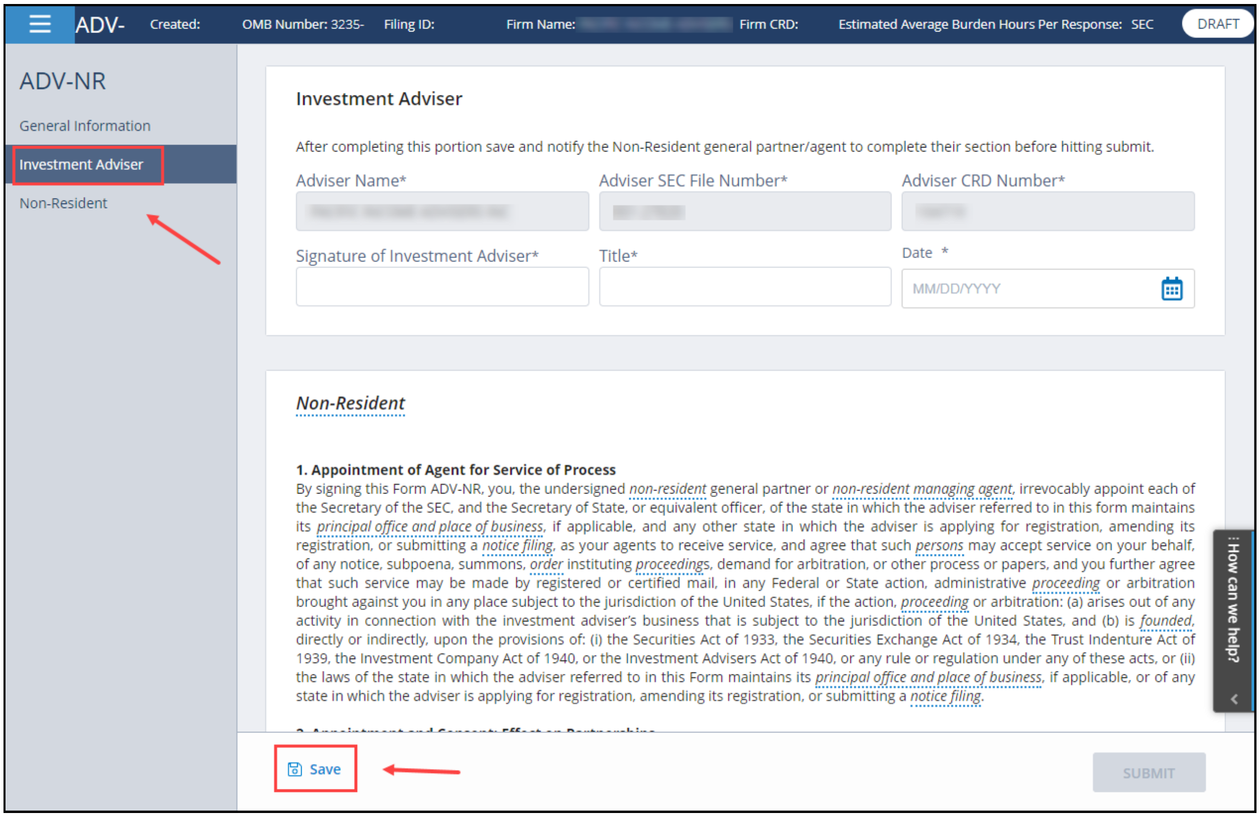


From the profile, select the **Create ADV-NR** link in the Actions card.



Completing Non-Resident Section of Form ADV-NR (Continued)

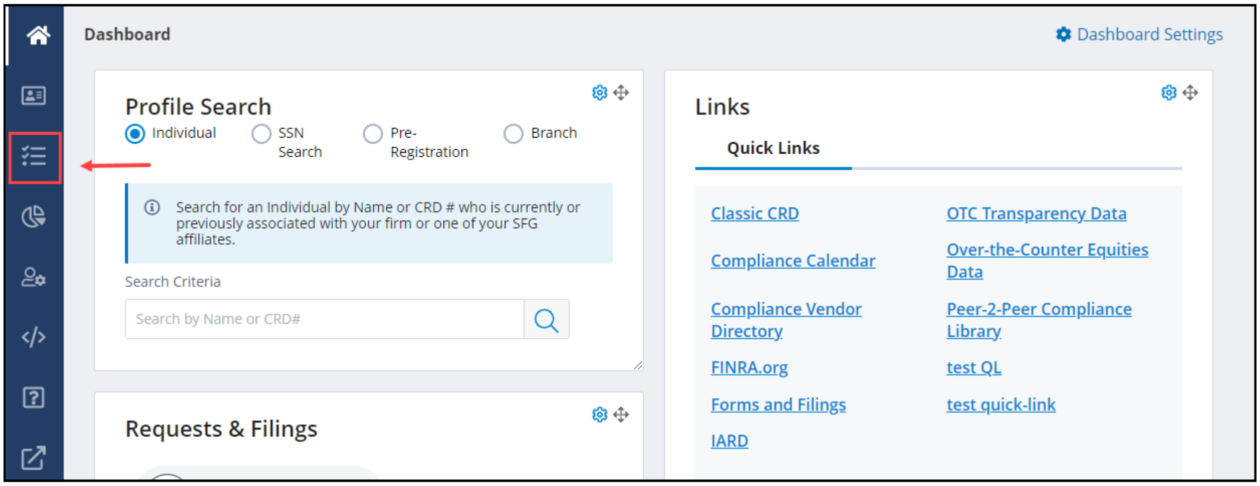
Complete the **Investment Adviser** section of the form an click the **Save** button.



Tip: In this scenario with separately entitled users, this user will not be able to submit the filing. At this point, the non-resident should login to complete and submit he filing (see next section).

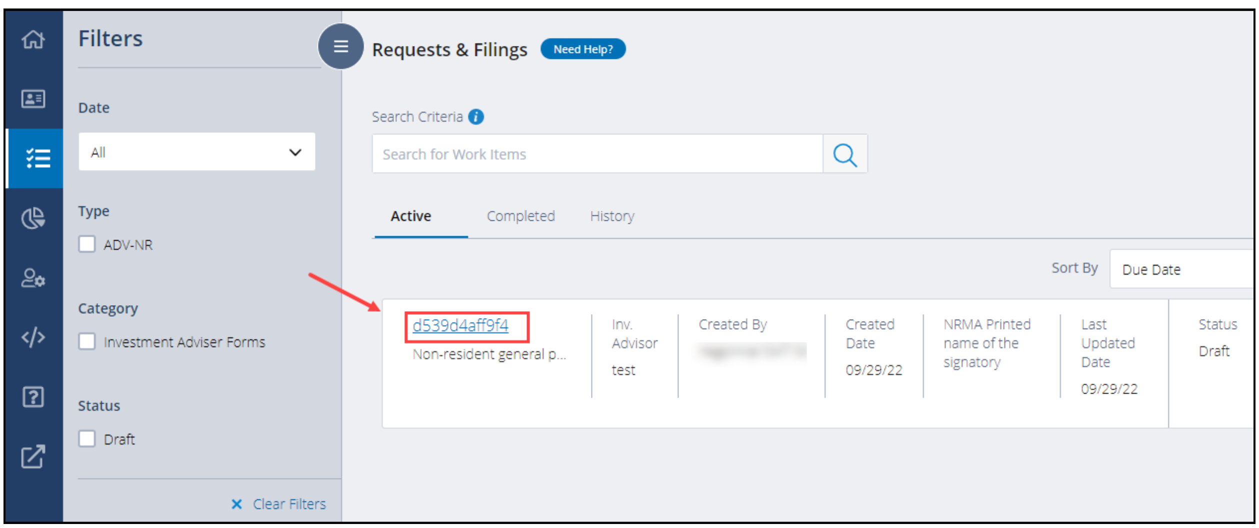
Completing Non-Resident Section of Form ADV-NR

The user with non-resident entitlement should access the newly designed FINRA Gateway at https://gateway.finra.org and navigate to the existing draft in **Requests & Filings** as shown below.



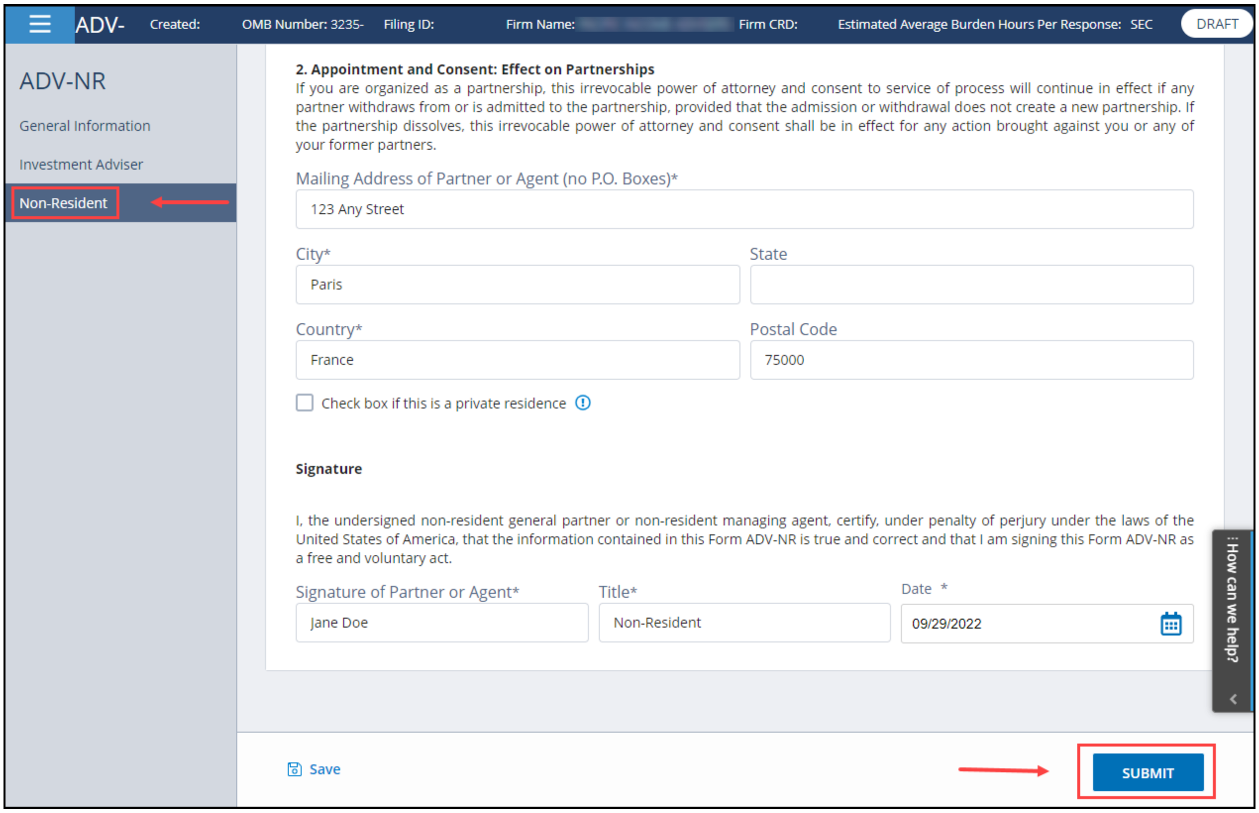
Select the applicable draft filing from the list to open the saved ADV-NR.

Tip: Use the filter options on the left side if needed.



Completing Non-Resident Section of Form ADV-NR (Continued)

Complete the **Non-Resident** section of the form. Once complete, the **Submit** button will become active and the form can be submitted.



Form ADV-NR History

To review the firm’s Form ADV-NR history, navigate to **Requests & Filings** and view the **History** tab.