

# IARD

## Form ADV-NR

#### About Form ADV-NR

Form ADV-NR may be required to be submitted or amended in certain circumstances (click <u>here</u> 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 <u>iardlive@sec.gov</u>.

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

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#### 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.

| ▲ IARD   |  | User  | Admin   |
|--|--|---|---|
| The Inves<br>registrati<br>FINRA an<br>Associati | stment Adviser Registration Depository (IARD) is an elect<br>on, regulatory review, and the public disclosure inform<br>d sponsored by the Securities and Exchange Commissi<br>on (NASAA). | ctronic filing syst<br>ation of investm<br>on (SEC) and the | em that facilitates<br>ent adviser firms.<br>North American |
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|  | () IA Non-Filing Information   | User  | Admin   |
|  | ③ Firm Queues  | User  | Admin   |
|  | () View Individual SSN   | User  | Admin   |
|  | () Forms   | User  | Admin   |
|  | () Form ADV and ADVW   | User  | Admin   |
|  | (j) Submit Forms   | User  | Admin   |
|  | Create ADV-NR  | User  | Admin   |
|  | (i) ADV-NR Managing Agent  | User  | Admin   |

**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 <a href="https://gateway.finra.org">https://gateway.finra.org</a> and navigate to **Profiles** as shown below.

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| ¢        | ③ Search for an Individual by Name or CRD # who is currently or<br>previously associated with your firm or one of your SFG affiliates. | Classic CRD OTC Transparency Data   |  |  |
| ු        | Search Criteria  | Compliance Calendar Data  |  |  |
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From the profile, select the Create ADV-NR link in the Actions card.

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|------------|-------------------------------|--|--|--|
| •=<br>*=   | Summary<br>Investment Adviser | Filings                                |  |  |
| œ          | CIK Number<br>IA SEC #        | Pending Filings     No Pending Filings |  |  |
| <b>₽</b> ¢ | Main Address                  | Actions                                |  |  |
|            | View IA Profile               | Firm Actions Create ADV-NR             |  |  |
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## Completing Non-Resident Section of Form ADV-NR (Continued)

| ADV-NR General information Investment Adviser Non-Resident Non-Resident Investment Adviser Non-Resident Investment Adviser Non-Resident Investment Adviser Non-Resident Investment Adviser Investment Advis | ADV- Created:  | OMB Number: 3235- Filing ID:  | Firm Name:                      | Firm CRD: Est             | timated Average Burden Hours Per Resp  | oonse: SEC DRAFT |
|--|--|-------------------------------|---------------------------------|---------------------------|--|------------------|
| Investment Adviser         Non-Resident         Adviser SEC File Number*         Adviser CRD Number*         Signature of Investment Adviser*         Title*         Date *         MoDDAYYYY         Image: Signature of Investment Adviser*         Title*         Date *         MoDDAYYYY         Image: Signature of Investment Adviser*         Title*         Date *         MoDDAYYYY         Image: Signature of Agent for Service of Process         By signing this Form ADV-NR, you, the undersigned non-resident general partner or non-resident managing agent, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains is principal office and place of business, if applicable, and any other state in which the adviser referred to in this form maintains is principal office and place of usiness, if applicable, and any other state in which the adviser referred to in the form instination or other process or papers, and you further agree that such pervices and agristration or arbitration (a) arises out of any activity in connection with the investment adviser's business that is subject to the United States, if the attoin, arcceding or arbitration (a) arises out of any activity in connection with the investment adviser's business that is subject to the pursicitor of the United States, if the attoin, arcceding or arbitration (a) arises out of any activity in convisions of (i) the Securitise Exchange Act of 1930, the Securities Exchange Act of 1930, the   | ADV-NR<br>General Information  | Investment Adviser            |                                 |                           |  |                  |
| Non-Resident       Adviser Name*       Adviser SEC File Number*       Adviser CRD Number*         Signature of Investment Adviser*       Title*       Date *         MMDDYYYY       Image: Signature of Investment Adviser*       Image: Signature of Investment Adviser*         Non-Resident       MMDDYYYY       Image: Signature of Investment of Agent for Service of Process         By signing this Form ADV-NR, you, the undersigned non-resident general partner or non-resident managing agent, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains its principal office and place of business; if applicable, and any other state in which the adviser referred to in this form maintains or submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behaver or certified mail, in any Federal or State action, administrative proceeding or arbitration, or arbitration or other process or papers, and you further agree that such service may be made by registreted or certified mail, in any Federal or State action, administrative proceeding or arbitration directly understate proceeding or arbitration of the United State. If the securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Adviser set of 1940, or any rule or regulation under any of these acts. or (ii) the laws of the state in which the adviser is applying for registration, or submitting a notice films.  | Investment Adviser   | After completing this portion | save and notify the Non-Residen | t general partner/agent t | to complete their section before hitti | ng submit.       |
| Signature of Investment Adviser*       Title*       Date *         MMDDMYYY       Image: Comparison of the state in which the adviser referred to in this form maintains its principal office and place of business. If applicable, or of any activity in connection with the adviser referred to in this form any place subject to the jurisdiction of the United States, and to jurisdices and office and place of places and the secretary of the state in which the adviser referred to in this form adviser and place of place and place of place of company activity in connection with the investment adviser's business that is subject to the jurisdiction of the United States, and to jurisdiction of the United States, and office and rest of 1930, the investment Company Act of 1940, or the investment Adviser referred to in this form adviser sets, or (i) the laws of the state in which the adviser referred to in the sets, or of any state in which the adviser is applying for registration. (a) artises out of any activity in connection with the investment adviser's business that is subject to the jurisdiction of the united States, and (b) is founded of the state in which the adviser referred to in this form adviser of these acts, or (i) the laws of the state in which the adviser referred to in this form advisers and (b) is founded of the state in which the adviser referred to in this form advisers, if applicable, or of any state in which the adviser is applying for registration.  | Non-Resident   | Adviser Name*                 | Adviser SEC F                   | ile Number*               | Adviser CRD Number*                    |                  |
| Signature of Investment Adviser*       Title*       Date *         MMDDYYYY       Image: Signature of Investment Adviser*       Image: Signature of Investment Adviser*         Non-Resident       MMDDYYYY       Image: Signature of Agent for Service of Process         By signing this Form ADV-NR, you, the undersigned non-resident general partner or non-resident managing agent, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains is principal office and place of business. If applicable, and any other state in which the adviser referred to in which there adviser is applying for registration, amending its registration, or submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, administrative proceeding or arbitration or other process or papers, and you further agree that such service may be made by registered or certified mail, in any Federal or State action, administrative proceeding or arbitration brought against you in any place subject to the United States, if the action, proceeding or arbitration is for any activity in connection with the investment advisers that is subject to the jurisdiction of the United States, and (b) is founded directly or indirectly, upon the provisions of. (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (i) the laws of the state in which the adviser referred to in this Form maintains its principal office of place of place of places of places of place of places of places o  | No. 1  |                               |                                 |                           |  |                  |
| Image: Non-Resident         Appointment of Agent for Service of Process         By signing this Form ADV-NR, you, the undersigned non-resident general partner or non-resident managing agent, irrevocably appoint each of the Secretary of the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains its principal office and place of business, if applicable, and any other state in which the adviser referred to in this form maintains of any notice, subpoend, summors, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such persons may accept service on your behalf, of any notice, subpoend, summors, order instituting proceedings, demand for arbitration, or other proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding or arbitration (a) arises out of any activity in connection with the investment advisers business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the investment Company Act of 1940, or the investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (i) the laws of the state in which the adviser referred to in this Form maintains is principal office ond places, flapplicable, or of any state in which the adviser is applying for registration, or submitting a notice flime.   |  | Signature of Investment A     | dviser* Title*                  |                           | Date *                                 |                  |
| Non-Resident 1. Appointment of Agent for Service of Process By signing this Form ADV-NR, you, the undersigned <i>non-resident</i> general partner or <i>non-resident managing agent</i> , irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains its principal office and place of business, if applicable, and any other state in which the adviser registration, are submitting a <i>notice filling</i> , as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, <i>order</i> instituting <i>proceedings</i> , demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any Federal or State action, administrative proceeding or arbitration (a) arises out of any activity in connection with the investment adviser's business that is subject to the jurisdiction of the United States, and (b) is <i>founded</i> , directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or ny rule or regulation under any of these acts, or (i) the laws of the state in which the adviser referred to in this Form maintains its <i>principal office on blace of business</i> , if applicable, or of any state in which the adviser is applying for registration, amending its registration, or submitting a <i>notice filling</i> .  |  |                               |                                 |                           | MM/DD/YYYY                             | <b></b>          |
| Non-Resident 1. Appointment of Agent for Service of Process By signing this Form ADV-NR, you, the undersigned non-resident general partner or non-resident managing agent, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State, or equivalent officer, of the state in which the adviser referred to in this form maintains its principal office and place of business, if applicable, and any other state in which the adviser referred to in this form maintains or submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on you breakly of any notice, subpoena, summors, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registred or certified mail, in any Federal or State action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, and (b) is founded directly or indirectly, upon the provisions of: (i) the Securities Act of 1943, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which the adviser referred to in this Form maintains its principal office and place of business, if applicable, or of any state in which the adviser is applying for registration, amending its registration, or submitting a notice filling.  |  |                               |                                 |                           |  |                  |
|  | / appoint each of<br>s form maintains<br>on, amending its<br>e on your behalf,<br>rou further agree<br>ng or arbitration<br>arises out of any<br>id (b) is <i>founded</i> ,<br>indenture Act of<br>these acts, or (ii)<br>licable, or of any |                               |                                 |                           |  |                  |

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 <u>https://gateway.finra.org</u> and navigate to the existing draft in **Requests & Filings** as shown below.

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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.

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## 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.

| ADV- Created:   | OMB Number: 3235- Filing ID: Firm Name:   | Firm CRD:  | Estimated Average Burden Hours Per Response: S  | SEC DRAFT                              |
|---|---|--|---|--|
| ADV-NR<br>General Information<br>Investment Adviser<br>Non-Resident | <ul> <li>2. Appointment and Consent: Effect on Part<br/>If you are organized as a partnership, this irr<br/>partner withdraws from or is admitted to the p<br/>the partnership dissolves, this irrevocable por<br/>your former partners.</li> <li>Mailing Address of Partner or Agent (no F<br/>123 Any Street</li> </ul> | nerships<br>evocable power of attorney and co<br>partnership, provided that the admis<br>ver of attorney and consent shall b<br>2.O. Boxes)* | onsent to service of process will continue in eff<br>ssion or withdrawal does not create a new partn<br>se in effect for any action brought against you | ect if any<br>vership. If<br>or any of |
|   | Paris   | State  |   |  |
|   | Country*  | Postal Cod   | de  |  |
|   | France  | 75000  |   |  |
|   | Check box if this is a private residence ①  |  |   |  |
|   | I, the undersigned non-resident general partn<br>United States of America, that the information<br>a free and voluntary act.<br>Signature of Partner or Agent*  | er or non-resident managing agent<br>contained in this Form ADV-NR is tri<br>Title*  | t, certify, under penalty of perjury under the law<br>ue and correct and that I am signing this Form A<br>Date *  | ws of the<br>DV-NR as How Car          |
|   | Jane Doe  | Non-Resident   | 09/29/2022  | we he                                  |
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## Form ADV-NR History

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

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