



Indiana Secretary of State Securities Division Form ADV Resources

*For assistance with filing forms or paying fees, contact FINRA directly at IARD CALL CENTER:
Email: iard@finra.org Phone: 240.386.4848*

FORM INFORMATION:

Form ADV is the uniform form used by investment advisers to register with both the SEC and state securities regulators. The form consists of two parts:

- Part 1 requires information about the investment adviser's business, ownership, clients, employees, business practices, affiliations, and any disciplinary events concerning the adviser or its employees. Part 1 is organized in a check-the-box, fill-in-the-blank format.
- Part 2 requires investment advisers to prepare a narrative brochure that includes plain English disclosures of the adviser's business practices, fees, conflicts of interest, and disciplinary information. The brochure is the primary disclosure document for investment advisers. Investment advisers are required to deliver the brochure to all advisory clients.

Form ADV, Part 2A, also known as the Firm Brochure, contains 18 disclosure items to be included in the investment adviser's brochure. In addition, investment advisers are required to deliver annually to clients a summary of material changes to the brochure, along with either a revised brochure or an offer to deliver a copy of the revised brochure.

Form ADV, Part 2B, also known as the Brochure Supplement, includes information about the specific individuals, acting on behalf of the investment adviser, who actually provide the investment advice and interact with the client.

THE FOLLOWING LINKS HAVE BEEN PROVIDED TO ASSIST IN FILING ON FINRA'S IARD SYSTEM:

[Financial Industry Regulatory Authority \(FINRA\) IARD Form ADV Part 2 Filing Instructions](#)

[North American Securities Administrators Association \(NASAA\) Investment Adviser Industry Resources](#)

[Securities and Exchange Commission \(SEC\) Form ADV Overview](#)