



Secretary of State State of Indiana Securities Division

COMPLIANCE ALERT

TO: All Indiana domiciled Registered Investment Advisers
FROM: Indiana Securities Division
DATE: February 14, 2025
RE: Annual State Registered Firm Questionnaire Due on or before March 31, 2025.

The Indiana Secretary of State, Securities Division (“Division”) requires that all Indiana domiciled Investment Advisers (“Firm”) complete the Investment Adviser Questionnaire (“Questionnaire”) annually. Firms must electronically submit responses to the Questionnaire in its entirety to comply with this inquiry. The Questionnaire must be completed **on or before March 31, 2025**.

The link for the Questionnaire was distributed to registered Firms via email. The email was distributed through the online survey software company SurveyMonkey. The subject line for the email is: “2025 Indiana Securities Division Questionnaire – Responses Due on or Before March 31, 2025.” The email’s sender will display as “SecuritiesExaminations@sos.in.gov via [SurveyMonkey](#).”

Firms who have not received the link for the Questionnaire should check their junk or spam email folders and any other filter which may have disrupted its delivery. The obligation to ensure that the Questionnaire has been completed rests with a registered Firm. Any Firm who cannot find or has other difficulty accessing the Questionnaire link must contact the Division so that any technological issues can be resolved.

Firms who successfully complete the survey through the link will receive a confirmation email from SurveyMonkey shortly after their responses have been submitted. Firms should preserve this confirmation email for their records.

The Questionnaire has multiple pages, which a user navigates through by clicking the “Next” button to proceed to the next page. Once all applicable prompts have been answered, the user completes and submits the Questionnaire by clicking the “Done” button.

For any questions, please contact: SecuritiesExaminations@sos.in.gov.

Failure to complete and return the Questionnaire by March 31, 2025, may be deemed by the Division a violation of the Indiana Securities Act within the meaning of Ind. Code § 23-19-4-12(d)(2) and the matter may be referred to the Division’s Enforcement Section.

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