

NASAA Notice Filing Requirements for Federal Covered Advisers

Model Rule 202(b)-1

Adopted 9/3/87; Amended 9/16/00

Rule 202(b)-1 Notice Filing Requirements For Federal Covered Advisers

- (a) **NOTICE FILING.** The notice filing for a federal covered adviser pursuant to Section 202(b) of the Act shall be filed with IARD on an executed Form ADV (Uniform Application for Investment Adviser Registration (17 C.F.R. 279.1)). A notice filing of a federal covered adviser shall be deemed filed when the fee required by Section 202(c) of the Act and the Form ADV are filed with and accepted by IARD on behalf of the state.
- (b) **PORTIONS OF FORM ADV NOT YET ACCEPTED BY IARD.** Until IARD provides for the filing of Part 2 of Form ADV, the [Administrator] will deem filed Part 2 of Form ADV if a federal covered adviser provides, within 5 days of a request, Part 2 of Form ADV to the [Administrator]. Because the [Administrator] deems Part 2 of Form ADV to be filed, a federal covered adviser is not required to submit Part 2 of Form ADV to the [Administrator] unless requested.
- (c) **RENEWAL.** The annual renewal of the notice filing for a federal covered adviser pursuant to section 202 of the Act shall be filed with IARD. The renewal of the notice filing for a federal covered adviser shall be deemed filed when the fee required by Section 202(c) of the Act is filed with and accepted by IARD on behalf of the state.
- (d) **UPDATES AND AMENDMENTS.** A federal covered adviser must file with IARD, in accordance with the instructions in the Form ADV, any amendments to the federal covered adviser's Form ADV.