

**NASAA Withdrawal from Registration of Investment Advisers and
Investment Adviser Representatives**

Model Rule 204(e)-1

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

Rule 204(e)-1 Withdrawal Of Investment Adviser And Investment Adviser Representative Registrations

- (a) The application for withdrawal of registration [licensure] as an investment adviser pursuant to Section 204(e) of the Act shall be completed by following the instructions on Form ADV-W (Notice of Withdrawal from Registration as Investment Adviser) (17 C.F.R. 279.2) and filed upon Form ADV-W with IARD.
- (b) The application for withdrawal of registration [licensure] as an investment adviser representative pursuant to Section 204(e) of the Act shall be completed by following the instructions on Form U-5 (Uniform Termination Notice for Securities Industry Registration) and filed upon Form U-5 with IARD.