

**2005**

# **Final Renewal Statement**

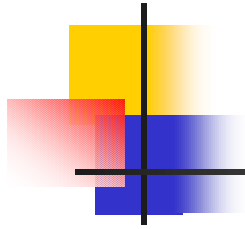
# **Important Notice**

**All BD/IA and IARD IA Firms**

**Review your Firm's**

**Final Renewal Statement**

**On Line at Web CRD/IARD**



## Key Renewal Dates

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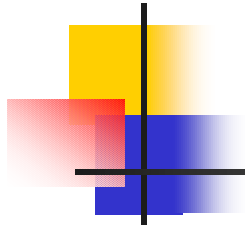
<b>Final Renewal Statement</b> available on-line	January 3, 2005
<b>Final Renewal Statement</b> payment deadline	February 4, 2005



# It's as easy as **One Two Three**

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- 1) View and Print your Final Renewal Statement.
- 2) Reconcile the Final Renewal Statement with the Firm's Records and the CRD/IARD Firm Renewal Report
- 3) Fund Renewal Account with Renewal and System Fees equal to the total amount shown on the **Final Renewal Statement**.



**One**

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**View and Print your Firm's  
Final Renewal Statement**



## How to View your “Final Renewal Statement”

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- Log on the Web CRD/IARD System
- You may access the Final Renewal Statement either through the CRD Site Map or IARD Site Map.  
To access the IARD site map, type:  
<https://www.webiard.com/iad>
- Input User ID and Password  
(If your Password has expired or you do not have your User ID available, please contact IARD Hotline at **(240) 386-4848** to obtain User ID and reset Password.)

# Where do firms find their Renewal Statements?

From the CRD or IARD Site Map, firms click the Renewal Statement hyperlink.

Accounting
Daily Account Information
<a href="#">Processed Transactions</a>
<a href="#">Funds Deficient Transactions</a>
<a href="#">Account Activity Summary</a>
<a href="#">Deposit Detail</a>
<a href="#">Transfer Detail</a>
<a href="#">Transaction Detail</a>
<a href="#">Bill Line Search</a>
Renewal Account Information
<a href="#">Renewal Statement</a>
<a href="#">Account Activity Summary</a>
<a href="#">Deposit Detail</a>
<a href="#">Transfer Detail</a>
<a href="#">Transaction Detail</a>
<a href="#">Bill Line Search</a>

Web CRD Central Registration Depository					
<a href="#">CRD Main</a> <a href="#">Forms</a> <a href="#">Individual</a> <a href="#">Organization</a> <a href="#">Accounting</a> <a href="#">Reports</a>					
<a href="#">LOG OFF</a> <a href="#">Web IARD</a> <a href="#">Site Map</a> <a href="#">User Info</a> <a href="#">Admin Tools</a>					
CRDMain	Forms	Individual	Organization	Accounting	Reports
<a href="#">User Info</a>	<a href="#">Blank Form</a>	<a href="#">View Individual</a>	<a href="#">View Org</a>	<a href="#">Daily Account</a>	<a href="#">Home</a>
<a href="#">Blank Forms</a>	<a href="#">Blank U4 Form</a>	<a href="#">Individual Search</a>	<a href="#">Organization Search</a>	<a href="#">Processed Transactions</a>	<a href="#">Glossary</a>
<a href="#">Broadcast Messages</a>	<a href="#">U4 Instructions</a>	<a href="#">Disclosure Only Individual Search</a>	<a href="#">Organization Queues</a>	<a href="#">Funds Deficient Transactions</a>	<a href="#">Request Report</a>
<a href="#">Terms and Conditions</a>	<a href="#">Blank U5 Form</a>	<a href="#">Non-Filing Info</a>	<a href="#">Current Deficiencies</a>	<a href="#">Account Activity Summary</a>	<a href="#">View Report</a>
<a href="#">FAQ</a>	<a href="#">U5 Instructions</a>	<a href="#">NFI Individual Search</a>	<a href="#">SFG Retirement</a>	<a href="#">Deposit Detail</a>	
<a href="#">Release Notes</a>	<a href="#">Blank BD Form</a>	<a href="#">IARD Transition Registration Search</a>	<a href="#">Withdrawal or Termination</a>	<a href="#">Transfer Detail</a>	
<a href="#">Recommended Hardware/Software</a>	<a href="#">Blank BDW Form</a>	<a href="#">Firm Queues</a>	<a href="#">Queue Totals</a>	<a href="#">Transaction Detail</a>	
<a href="#">Send Comments</a>	<a href="#">U4 Form</a>	<a href="#">Continuing Education</a>	<a href="#">Non-Filing Info</a>	<a href="#">Bill Line Search</a>	
<a href="#">Admin Tools</a>	<a href="#">Create New U4 Filing</a>	<a href="#">Approaching CE Requirement</a>	<a href="#">NFI Organization Search</a>	<a href="#">Renewal Account</a>	
<a href="#">Change Password</a>	<a href="#">Initial</a>	<a href="#">CE 2-Year Termed</a>	<a href="#">Mass Transfer</a>	<a href="#">Renewal Statement</a>	
	<a href="#">Amendment</a>	<a href="#">CE Inactive</a>	<a href="#">Mass Transfers List</a>	<a href="#">Account Activity Summary</a>	
	<a href="#">Concurrence</a>	<a href="#">CE Satisfied</a>		<a href="#">Deposit Detail</a>	
	<a href="#">Page 2 Amendment for Schedule A/B</a>			<a href="#">Transfer Detail</a>	
	<a href="#">Page 2 Initial for</a>			<a href="#">Transaction Detail</a>	

# 2005 Final Statement – (Amount Due) (Paid In Full) (Failed to Renew)

CRD Number:	000000
Organization Name:	YOUR INVESTMENT ADVISOR
Balance As Of:	12/22/2002

Contact:	A.N. ADVISOR
Contact Phone #:	(361) 555-1212
Statement Generated:	12/22/2002 9:13:31 AM

Summary	
CRD Charges	N/A
IARD Charges	\$590.00
Total Charges:	\$590.00
Amount Due:	\$100.00

Combined statement for the following annual fees:

(1)	NASD 2002 Personnel Assessment, System Processing and NASD Regulation Branch Office Fees.
(2)	NYSE, AMEX, CBOE, ISE, PCX and PHLX 2002 Maintenance Fees for Registered Personnel.
(3)	Jurisdiction 2002 Agent Renewal Fees.
(4)	Jurisdiction 2002 Broker/Dealer Renewal Fees for Participating States.
(5)	Jurisdiction 2002 Investment Adviser Renewal Fees for Participating States.

**PAYMENT IN FULL REQUIRED BY MARCH 14, 2003.**

**US Mail and Express Delivery:**

Make check payable to NASD; print and mail first page of this statement and submit with payment.

<b>Send payment to:</b>	
US Mail	NASD, CRD-IARD PO Box 7777-W8705 Philadelphia, PA 19175-8705
Express Delivery	NASD, CRD-IARD W8705 c/o Mellon Bank, Rm 3490 701 Market Street Philadelphia, PA 19106

**New Payment Option Now Available - Web CRD/IARD E-Pay:**

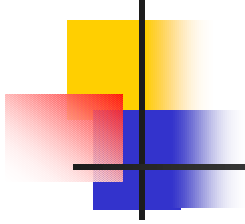
Submit an online Renewal payment by accessing the [Web CRD/IARD E-Pay Application](#). In order for funds to be posted to your firm's RENEWAL Account by **MARCH 14, 2003**, payment must be submitted electronically, no later than 8:30 p.m. (ET), on March 12, 2003.

**IARD Charges**

Charge	Quantity	Unit Price	Amount
Renewal Fees (Jurisdictions)	1		\$400.00
IARD Firm System Processing Fee:	1	\$100.00	\$100.00
RA System Processing Fee:	2	\$45.00	\$90.00
Total IARD Charges:			\$590.00

Regulator	# of Ind. with Renewal Fee	Renewal Fee	# of Ind. with Renewal Discount Fee	Renewal Discount Fee	Total Ind. Fee	Registration Fee	Firm Notice Filing Fee	Regulator Total
MD	2	\$50.00	0	\$0.00	\$100.00	\$300.00	\$0.00	\$400.00





**Print your Firm's Final Renewal Statement**



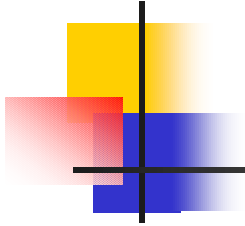
# The “Final Statement” includes Renewal and System fees.

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## 2005 Renewal Fees For:

- 1) Jurisdictions in which your IA Firm had activity including approvals and terminations (from November 6, 2004 and prior to December 18, 2004 Web CRD/IARD system shutdown).
- 2) RA activity in your IA Firm, including approvals and terminations (from November 6, 2004 and prior to December 18, 2004 Web CRD/IARD system shutdown).
- 3) A summary of your Firm’s Renewal Activity including:
  - a) Your Preliminary Renewal Statement Payment for 2005.
  - b) A listing of your Firm’s Renewals by each State and the number of RAs renewed for 2005.
  - c) System Fees (For IA Firm\* & RAs in the above).

\*SEC IA Firm’s statement will reflect RA system fees only.  
SEC IA Firm system fees are assessed when they file their Annual Amendment.

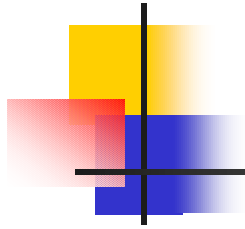


The Final Statement also includes:

1) System fees for IA\* Firms and their RAs that have “Failed to Renew”

\* SEC IA Firm’s statement will reflect RA system fees only. SEC IA Firm system fees are assessed when they file their annual amendment.

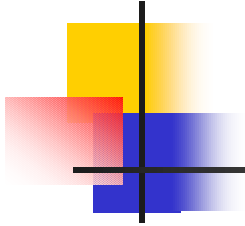
2) System and Renewal Fees for New IA Firms and their RAs who have filed for the first time on the IARD.



## Two

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Reconcile the **Final Renewal Statement** with the Firm's Records and the CRD/IARD Firm Renewal Report



A) You should reconcile your firm's records with the CRD/IARD Firm Renewal Report. The Firm Renewal Report can be viewed on Web CRD/IARD from the Reports\* section of the CRD/IARD site maps.

\*(See the next four slides).

B) If there are any differences during your reconciliation, please contact the jurisdictions directly.

## Request Report

1. From the IARD or CRD Site Map, click the **Request Report** hyperlink.



**OR**

- 1a. Click the **Reports** Tab from the Tool Bar and choose **Request Report** from the Navigation Bar or Footer.



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[Result:] The *Select a Report to Request* screen opens.

Select a Report to Request	
Report Name	Report Description
<a href="#">Accounting – Account Activity – Firms</a>	This report provides monthly account activity details for a firm. Financial data is available for the previous 13 months.
<a href="#">Accounting – Firm Accounting Download</a>	Download of Firm Accounting Information. Financial data is available for the previous 13 months.
<a href="#">Branch – Branches within Firm – Firms</a>	Details of all branches for a Firm.
<a href="#">Branch – Firm Branch Download – Firms</a>	Download of firm and branch data for a specified Firm.
<a href="#">Branch – Schedule E – Firms</a>	List of all Schedule E filings by a firm within a specified date range.
<a href="#">Exam – Reschedule Exam Report</a>	Lists individuals for a firm that need to reschedule an exam.
<a href="#">Exam – Scheduled Exam Queue Download</a>	Download of the Scheduled Exam for the requesting firm
<a href="#">Exam – Scheduled Exam Queue Report</a>	Lists the Scheduled Exam for the requesting firm
<a href="#">Individual – Recent Hires by Firm</a>	Identifies all individuals hired by Firm with the specified date range.
<a href="#">Individual – Transition Status – Firms</a>	List of all individuals with a 'Transition Requested', 'Transition Terminated', or a 'Not Transitioned - Filed in Error' status within a Firm
<a href="#">Individual – Transition Status Download – Firms</a>	List of all individuals with a 'Transition Requested', 'Transition Terminated', or a 'Not Transitioned - Filed in Error' status within a Firm
<a href="#">Individual Transition and No U4 Filed Firms-download</a>	List of individuals that have a status of 'Transitioned' but have not filed a Form U4
<a href="#">Individual Transition and No U4 Filed for Firm</a>	List of all individuals that have a status of 'Transitioned' but have not filed a form U4
<a href="#">Renewals – Branches Renewal Roster</a>	List of all of a firm's branches for renewal purposes.
<a href="#">Renewal – Firm Renewal Download</a>	Download of all individuals who were renewed for the firm.
<a href="#">Renewals – Firm Renewal Roster – Firms</a>	All individuals who were renewed for the firm.
<a href="#">Renewals – Non-NASD Registered Individuals</a>	Report lists individuals who are not registered with the NASD but are with another regulator.
<a href="#">Roster – Individual – Firms</a>	Lists all registered or non-registered Individuals employed by a firm.
<a href="#">Roster – Individual – Firms Download</a>	Download of all registered or non-registered Individuals employed by a firm.
<a href="#">Snapshot – BD Firm</a>	This report provides current information about a firm.
<a href="#">Snapshot – Individual</a>	Comprehensive set of Admin/Disclosure data for a specified individual.

# Firm Renewal Report IA State Registered Firm

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CRD® or IARD(SM) System

Renewals - Firm Renewal Report

CRD® or IARD(SM) System Report provided to: NASD

Request Submitted: 09/20/2002 Renewal Extract Date: 11/02/2002 Page 1

## Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by the NASD, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other

## Renewal Notice

For additional information regarding the Annual Renewal Process, Broker/Dealers may visit the NASD web site at [www.nasd.com](http://www.nasd.com). Investment Adviser Firms may visit the Investment Adviser Registration Depository web site at [www.iard.com](http://www.iard.com).

Attention: NASD SFC Firms



Renewals - Firm Renewal Report  
CRD® or IARD(SM) System Report provided to: NASD  
Request Submitted: 09/20/2002 Renewal Extract Date: 11/02/2002 Page 4

Organization CRD#:  
Organization Name:

Renewal Status:

Regulator: District of Columbia

Regulator Fees:

AG Fee:	\$45.00
RA Fee:	\$45.00
RA Discount Fee:	\$45.00

Individual Name	CRD Number	Position	Billing Code
DWARF, SNEEZY	4521073	RA	

Total number of individuals for this regulator: 1

Organization CRD#:  
Organization Name:

Renewal Status:

Regulator: Florida

Regulator Fees:

AG Fee:	\$40.00
RA Fee:	\$40.00
RA Discount Fee:	\$40.00

Individual Name	CRD Number	Position	Billing Code
DWARF, SNEEZY	4521073	RA	

Total number of individuals for this regulator: 1



# Three

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Fund Renewal Account with  
Renewal and System Fees Equal to  
the Total Amount Shown on the  
Final Renewal Statement



# Methods of Payment

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Renewal payment can be made via:

- Web CRD/IARD E-Pay
- Wire Transfer
- Check
- Overnight /Express Delivery
- Transfer from Daily to Renewal Account

IA Firms should submit both Renewal Fees and System Fees directly to **NASD** for deposit to their Renewal Account. The following **Renewal Payment Addresses** are **DIFFERENT** than the payment addresses for a firm's **Daily Account**.



## Web CRD/IARD E-Pay

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- Firms are able to fund their Renewal Accounts through a user-friendly on-line application, Web CRD/IARD E-Pay.
- Firms may access this application through the IARD website at <http://www.iard.com>. NASD will not charge a fee for utilizing this application. However, firms should verify with their bank whether any ACH transaction charges will be assessed.
- In order for funds to be posted to a firm's Renewal account by February 4, 2005, payment must be submitted electronically no later than 8:30 p.m. ET on **February 2, 2005.**



# Wire Transfer

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Firms may wire full payment of the “Final Renewal Statement” by requesting their bank to initiate the wire transfer to: “Mellon Financial, Philadelphia, PA”. Firms will need to provide their bank with the following information:

Transfer Funds to: Mellon Financial, Philadelphia, PA  
ABA Number: 031 000 037  
Beneficiary: NASD  
NASD Account #: 8-234-353  
Reference #: Firm CRD Number and the word, “Renewals”

To ensure prompt processing of Renewal Payment by wire transfer:

- Firms should inform their bank that funds are to be credited to the NASD Bank Account
- Provide the Firm’s CRD Number and the word, “Renewals” as a reference only
- Firms should record the Confirmation Number of the wire transfer given by their bank



**Check**

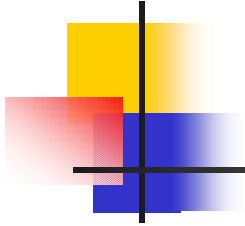
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BY MAIL

NASD, CRD/IARD

P.O. Box 7777-**W8705**

Philadelphia, PA 19175-8705



- All checks should be made payable to **NASD**.
- The IA Firm's CRD number and the word "Renewals" should be included in the memo section of the check.
- A copy of the first page of the **Final Statement** must also be included with your payment.



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Overnight/Express Delivery

NASD, CRD/IARD

**W8705**

c/o Mellon Bank, RM. 3490

701 Market Street

Philadelphia, PA 19106

Telephone Number Ref.: (240) 386-4848 (IA Only Firm)

(301) 590-6500 (BD/IA Firm)

or (301) 869-6699

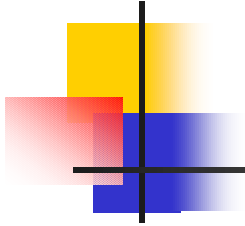




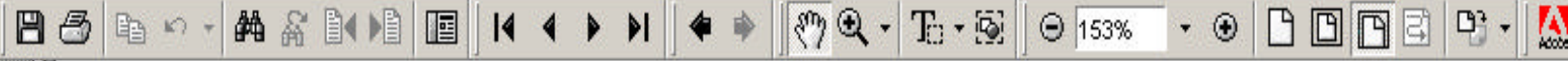
## Transfer Payment from Daily to Renewal Account

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- Firms that have funds available in their Daily Account may contact the Gateway Call Center to have funds transferred to the firm's Renewal Account.
- The full amount due on the **Final Statement** must be available in a firm's **Daily Account** to initiate a transfer.
- IA Only Firms should call the IARD Hotline at 240-386-4848.
- BD/IA Firms should call the Gateway Call Center at 301-590-6500 or 301-869-6699.



Please view the **Renewal Account Information** submenu under the Renewal Statement link on the Web CRD/IARD site maps to verify your balance. If there is a **credit balance** (-), it represents the amount overpaid in your **Renewal Account** and will be transferred to your **Daily Account** on **January 3, 2005**. You may begin to request a refund from the **NASD** on **January 4, 2005** by calling (240) 386-4848.



**Access Account**  
(Continued)

*Renewal Account Information* screen:

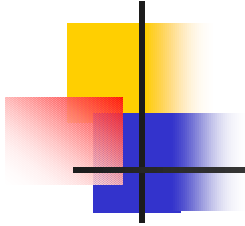
Renewal Statement		Renewal Organization Information	
Renewal Account Information	GRD Number :	120527	
Account Activity Summary	Organization Name:	INVESTMENT ADVISER TRAINING FIRM	
Deposit Detail	Account Status:	Sufficient	
Transfer Detail	Balance:	-\$30,131,750.00	
Transaction Detail	Balance As Of:	4/11/2002 2:06:40 PM	
Bill Line Search	Amount Assessed:	\$0.00	

2. Click the desired **Renewal Account Information** or **Daily Account Information** section from the Navigation Bar or Footer.

**NOTE:** Your firm's Account Status and Balance for the Daily or Renewal Accounts can be viewed on all Accounting screens.

**Define Search Parameters**

**[Result:]** Depending on the section chosen, a *Search* screen opens. Below is an example of a *Deposit Detail Search* screen.



February 4, 2005 is the deadline for payment of Final Renewal Statements and reporting Renewal Report discrepancies.



## Contact Numbers - NASD

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### IARD Hotline

**(240) 386-4848 (IA Only Firms)**

### Gateway Call Center

**(301) 590-6500 or (301) 869-6699 (BD/IA Firms)**