

## State Registration Transition

Organization CRD#: <a href="#">101705</a>	Primary Business Name: EISENHOUR ADVIERS
Organization SEC#:	Full Legal Name: EISENHOUR ADVISERS
No BD Record	Electronic Filer

### \*\*\* WARNING \*\*\*

You have checked the boxes for states thus stating you are **registered** as an investment adviser with certain states. Be very careful that your State Registration information is accurate. This State Registration information is sent directly to state regulators for verification. As a state registered adviser you will be required to complete Form ADV Part 1B. **Submitting inaccurate State Registration information could cause problems with your Form ADV filing.**

**Special Warning for SEC-registered advisers:** Most SEC-registered advisers send *Notice Filings* to states and are not *registered* with those states.

To review the states you marked in the State Registrations transition screen, hit the "back" button on your web browser. You can amend the State Registrations transition screen by clicking the "Reset" button at the bottom of the screen.

If you intended to transition *State Notice Filing* information, not State Registrations, please click the "NO" button below and click on "Transition State Notice" from the side Navigation Panel.

**Once you click the "YES" button below, you cannot amend your State Registration transition information.**

Do you want to send your State Registration transition information to the states?

→

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**Complete the Transition Filing (Continued)**

**[Result:]** The *State Registration Transition* screen opens indicating that the information was saved.

The information was saved.

State Registrants: Before making your first electronic Form ADV filing, you will need to indicate on this page the states in which your firm is currently registered. This will ensure that IARD does not charge you for state registration fees which you have already paid.

### State Registration Transition

Organization CRD#: <a href="#">117757</a>	Primary Business Name: TRAININGSECURITIES3 (IA-STATE)
Organization SEC#:	Full Legal Name: TRAININGSECURITIES3 (IA-STATE)
No BD Record	Electronic Filer

<input type="checkbox"/> Alabama	<input type="checkbox"/> Idaho	<input type="checkbox"/> Mississippi	<input type="checkbox"/> Pennsylvania
<input type="checkbox"/> Alaska	<input type="checkbox"/> Illinois	<input type="checkbox"/> Montana	<input type="checkbox"/> Puerto Rico
<input type="checkbox"/> Arkansas	<input type="checkbox"/> Indiana	<input type="checkbox"/> Nebraska	<input type="checkbox"/> Rhode Island

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# Transitioning SEC Investment Advisers (Notice Filers)

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Select ADV Filing

- New Filing**
- Pending Filing
- Historical Filing

ADV - New Filing

[Existing registrants click here for important information regarding your first IARD filing.](#)

Transition:

[Submit Transition Notice Filings](#)

[Submit Transition Registrations](#)

ADV Filing Types:

[Apply for registration as an investment adviser with the SEC](#)

[Apply for registration as an investment adviser with one or more states](#)

[Submit an annual updating amendment to your registration for your fiscal year ended](#)

[Submit an other-than-annual amendment to your registration](#)

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Select ADV Filing

[New Filing](#) | [Pending Filing](#) | [Historical Filing](#)

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Item 2 - SEC Registration (Continued)

(9) are a multi-state adviser relying on rule 203A-2(e);

*See Part 1A Instruction 2.g. to determine whether you should check this box. If you check this box, complete Section 2A(9) of Schedule D*

(10) have received an SEC order exempting you from the prohibition against registration with the SEC;

*If you check this box, complete Section 2A(10) of Schedule D*

(11) are no longer eligible to remain registered with the SEC.

*See Part 1A Instruction 2.h. to determine whether you should check this box.*

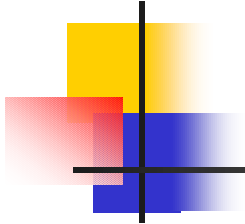
B. Under state laws, SEC-registered advisers may be required to provide to state securities authorities a copy of the Form ADV and any amendments they file with the SEC. These are called *notice filings*. If this is an initial application, check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings you submit to the SEC. If this is an amendment to direct your *notice filings* to additional state(s), check the box(es) next to the state(s) that you would like to receive notice of this and all subsequent filings you submit to the SEC. If this is an amendment to your registration to stop your *notice filings* from going to state(s) that currently receive them, uncheck the box(es) next to those state(s).

<input type="checkbox"/> Alabama	<input type="checkbox"/> Idaho	<input type="checkbox"/> Mississippi	<input type="checkbox"/> Pennsylvania
<input type="checkbox"/> Alaska	<input type="checkbox"/> Illinois	<input type="checkbox"/> Montana	<input type="checkbox"/> Puerto Rico
<input type="checkbox"/> Arkansas	<input type="checkbox"/> Indiana	<input type="checkbox"/> Nebraska	<input type="checkbox"/> Rhode Island
<input checked="" type="checkbox"/> Arizona	<input type="checkbox"/> Iowa	<input type="checkbox"/> Nevada	<input type="checkbox"/> South Carolina
<input type="checkbox"/> California	<input type="checkbox"/> Kansas	<input type="checkbox"/> New Hampshire	<input type="checkbox"/> South Dakota
<input checked="" type="checkbox"/> Colorado	<input type="checkbox"/> Kentucky	<input type="checkbox"/> New Jersey	<input type="checkbox"/> Tennessee
<input type="checkbox"/> Connecticut	<input type="checkbox"/> Louisiana	<input type="checkbox"/> New Mexico	<input type="checkbox"/> Texas
<input type="checkbox"/> Delaware	<input type="checkbox"/> Maine	<input type="checkbox"/> New York	<input type="checkbox"/> Utah

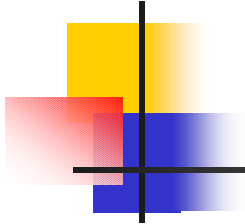


## 3. File Part 1 of Form ADV

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**IARD Transition Process includes a Third Step: Filing Part 1 of Form ADV. Your Form ADV was originally filed in paper form with your various jurisdictions. If the states you filed in have mandated the IARD System to perform all filings for Investment Adviser firms, Form ADV must now be entered electronically on the IARD system. Once Part 1 of Form ADV is entered through IARD to the states, you will be able to make new filings, including amendments and withdrawals, electronically through IARD (The IARD system is unable to accept Part II electronically, therefore you will need to submit the Part II in paper form to all states that your firm is licensed or registered in).**



**Before you can file Part 1 of Form ADV with the states, the IARD initial set up fee must be deposited to your Daily Account. (You may begin to enter the Form ADV on the system, but will not be able to submit the filing until the funds are deposited in your Daily Account.)**

**In most cases, the IARD set-up will be \$150.00 for IA firms with assets under management of \$25 million or less. However, the amount may be greater depending on the amount of assets under management.**



- What is IARD ?
- How to Get Started with IARD
- Logging Online
- Fees & Accounting
- Web CRD/IARD E-Pay
- Renewal Program
- User Support
- Publications
- Directories

# IARD

## FEES AND ACCOUNTING

### IARD Firm System Processing Fees

Every firm authorized to use the IARD system must set up an IARD User Account with NASD and deposit funds in its financial account before it can file electronically. As one of the IARD set-up activities, it is important for your firm to fund your IARD financial account so that your firm can submit its first electronic Form ADV.

#### IARD Firm System Processing Fees:

Assets Under Management	Initial Set-Up Fee	Annual Fee
Under \$25 Million	\$150	\$100
\$25 Million - \$100 Million	\$800	\$400
Over \$100 Million	\$1100	\$550

#### Initial Set-Up Fee

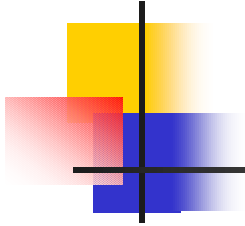
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- The fee charged when your firm submits its first electronic Form ADV is the IARD Initial Set-Up Fee.



# Payment Methods and Addresses

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- All funds are to be sent to NASD.
- All checks are to be made payable to NASD and are to include the Firm's CRD Number in the memo section of the check.



For Regular Mail

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NASD, CRD/IARD

P.O. Box 7777- W9995

Philadelphia, PA 19175



# For Express Delivery/Overnight Mail

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NASD, CRD/IARD

W9995

c/Mellon Bank, Rm. 3490

701 Market Street

Philadelphia, PA 19106

(If a telephone number is required for the recipient, use  
240-386-4848)



# For Wire Payments

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The Riggs National Bank in Washington, DC

Provide your bank with the following:

ABA Number: 054-000030

Beneficiary: NASD Regulation, Inc.

NASD Regulation Acct. #: 086-761-5

Reference #: IA Firm CRD number

**Note:** Remember to inform your bank that funds are to be credited to the NASD bank account and to use the IA Firm's CRD Number as a reference number only.

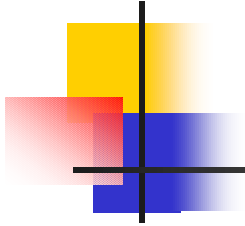


## Web CRD/IARD E-Pay

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Beginning this year, firms are able to fund their Daily Account 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.



Please check the Deposit Detail in your Daily Account to determine if the fees you have sent have been receipted to your Daily Account.

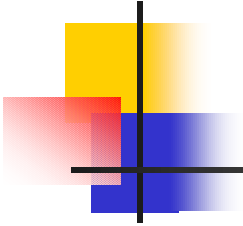
Please log on the IARD Site Map at <https://webiard.com/iad> and input your User ID Number and Password, then press Enter.



IARD Main	Forms	Organization	Accounting
Info	ADV	View Organization	Daily Account Information
Broadcast Messages	New Filing	Identifying Information	Processed Transactions
Terms And Conditions	Pending Filing	Registration Status	Funds Deficient Transactions
Q	Historical Filing	Notice Filing Status	Account Activity Summary
Release Notes	ADV-W	Answers to Questions	Deposit Detail
Recommended Hardware/Software	New Filing	Form of Organization	Transfer Detail
Send Message to WebIARD	Pending Filing	Business Information	Transaction Detail
Admin Tools	Historical Filing	Assets Under Management	Bill Line Search
Change Password		Client Transactions	Renewal Account Information
		Direct Owners / Executive Officers	Account Activity Summary
		Indirect Owners	Deposit Detail
		Other Business Names	Transfer Detail
		Name Change History	Transaction Detail
		Other Offices	Bill Line Search
		Other Business	
		Succession	
		Custody Information	
		Control Persons	
		Industry Affiliations	
		Locations of Books and Records	
		Disclosures	
		Filing History	
		Small Businesses	



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When checking the Deposit Detail, please note if the Deposit Detail shows “Sufficient”. There should be a credit balance if there are funds in the account. (The balance will show “-” before the amount.). A zero balance will generate a “Deficient” status.