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Update on Requirements for Form ADV Part 2

In a previous CAPIS Connect, we highlighted the new requirements for Form ADV Part 2. The SEC has extended the deadline for delivering Part 2B of Form ADV for clients. Please see the links below for more information.

Existing Registered Investment Advisers:

Advisers registered with the SEC as of December 31, 2010, with a fiscal year ending between December 31, 2010 and April 30, 2011, now must deliver brochure supplements to new and prospective clients by July 31, 2011. Supplements for existing clients must be delivered by September 30, 2011. Deadlines for those Advisers with fiscal years ending after April 30, 2011 will remain unchanged.

New Registered Investment Advisers:

Any Adviser filing a new application with the SEC between January 1, 2011 through April 30, 2011, must deliver brochure supplements to new and prospective clients by May 1, 2011. Supplements for existing clients must be delivered by July 1, 2011. Deadlines for Advisers filing a new application with the SEC after April 30, 2011 remain unchanged.

Helpful Links:

SEC release: Amendments to Form ADV; extension of compliance date
<http://www.sec.gov/rules/final/2010/ia-3129.pdf>

CAPIS summary of new Form ADV Part 2 requirements
http://www.capis.com/resources/pdf/FormADV_Part_2_Outline.pdf

If you have any questions, please contact your CAPIS Account Executive or call 800-247-6729.



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