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New Requirements for Form ADV Part 2

In July of 2010, the SEC adopted amendments to Form ADV Part 2. The amendments are designed to provide new and prospective advisory clients with clearly written, meaningful, current disclosure of the business practices, conflicts of interest, and background of an investment adviser and its advisory personnel.

Under the new rules, advisers will provide new and prospective clients with narrative brochures that are organized in a consistent, uniform manner that include "plain English" disclosures of the adviser's business practices.

Important Dates to Remember:

- **March 31, 2011**
Due date to complete and file Form ADV Part 2 using the Investment Adviser Registration Depository (IARD) website.
- **May 30, 2011**
Due date to distribute the new Form ADV Part 2A and 2B to all existing RIA clients.

To view our summary of the new requirements for Form ADV Part 2, please click on the button below.

[Form ADV Part 2 Summary](#)

The Summary Includes:

1. Overview of the changes to Form ADV Part 2
2. Item descriptions for Form ADV Part 2
3. Sample language related to the Brokerage and Soft Dollar Practices section of Form ADV Part 2
4. Form ADV Part 2 resources
5. Additional resources

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



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