



About Form ADV-W

Form ADV-W is used by Investment Adviser firms to terminate registration with the SEC and/or states and jurisdictions. Exempt Reporting Advisers (ERA) should reference the [Form ADV Quick Reference Guide](#) for information on how to withdraw (i.e., submit a Final filing).

The SEC provides information about its rules and the Advisers Act on its website: www.sec.gov/iard. NASAA provides information about state investment adviser laws and state rules, and how to contact a state securities authority, on its website: www.nasaa.org.

Form filing entitlement privileges are required to submit filings via IARD. For questions regarding your entitlement privileges, please contact your firm's Super Account Administrator.

Contents:

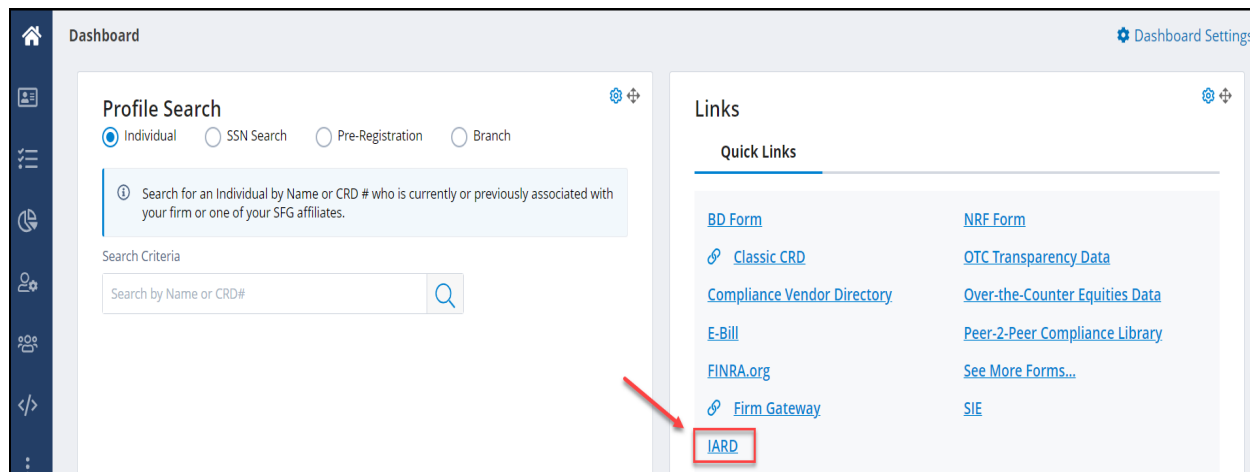
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Questions on IARD? Call the IARD Hotline at 240-386-4848
8 A.M. - 8 P.M., ET, Monday through Friday.

Accessing Form ADV-W

Access IARD directly at <https://crd.finra.org/iad> or through the newly designed FINRA Gateway at <https://gateway.finra.org> as shown below.

If accessing IARD through FINRA Gateway, select **IARD** in the Quick Links section of your firm's dashboard and then navigate to the IARD Main tab.



Form ADV-W Filing Types

Select the **New Filing** link under ADV-W on the site map.

IARD™						
CRD Main	IARD Main	PFRD Main	Forms	Organization	E-Bill	Reports
Site Map	User Info					
IARD Main		Forms		Organization		
User Info		ADV		View Organization		
FAQ - IARD.COM		New/Draft Filing		Brochure Search		
FAQ - NASAA.ORG		Generate a Private Fund Identification Number		Identifying Information		
FAQ - SEC.GOV		Historical Filing		Registration/Reporting Status		
Release Notes		ADV-W		Notice Filing Status		
IA Setting and Standard Fees		New Filing		Brochure Status		
Recommended Browsers		Pending Filing		Answers to Questions		
Send Comments		Historical Filing		Form of Organization		

Full	Choose this filing type to withdraw your investment adviser registration from all of the jurisdictions with which you are registered (or have an application for registration pending).
Partial	Choose this filing type to withdraw your investment adviser registration with some, but not all, of the jurisdictions where you are registered (or have an application for registration pending).

Notes:

- If you are filing for partial withdrawal to switch from SEC to state registration, you must complete the Status Section, Item 1, and the Execution Section. You do not need to complete the other sections of Form ADV-W.
- If you are filing for partial withdrawal to switch from state to SEC registration, you must complete the entire Form ADV-W.
- If you are registered only with states and wish to terminate from some (but not all) of the states where you are registered, you must complete the entire Partial Form ADV-W.
- If you are filing for full withdrawal, you must complete the entire Full Form ADV-W.
- If you are switching from SEC/State registered to an Exempt Reporting Adviser (ERA), submit a Full ADV-W to terminate the SEC/State registration (will leave the ERA status intact). *
- If you are a Form PF filing firm, you must submit a Final Form PF before submitting a Full ADV-W.

(* - When terminating ERA reporting statuses, do not submit an ADV-W. See the [Form ADV Quick Reference Guide](#) for ERA final filing scenarios.)

Item 1 Identifying Information

In this section, the firm must provide the name and physical address of the employee who is authorized to receive information and respond to questions about this Form ADV-W filing.

Item 1 Identifying Information

You must complete this Form ADV-W to withdraw your investment adviser registration with the SEC or one or more state securities administrators. We use the term "you" to refer to the investment adviser withdrawing from registration, regardless of whether the adviser is a sole proprietor, a partnership, a corporation, or another form of organization.

WARNING: Complete this form truthfully. False statements or omissions may result in administrative, civil or criminal action against you.

A. Your full legal name (if you are a sole proprietor, your last, first, and middle names):

INVESTMENT ADVISER

The name you enter here must be the same as the name you entered on your last amended Form ADV. Do not report a name change on this Form ADV-W.

B. Your SEC file number (if you are registered with the SEC as an investment adviser):

801-

C. Your CRD number (if you have a number ("CRD number") assigned by FINRA's CRD system):

00000

If you do not have a CRD number, skip this Item 1 C. Do not provide the CRD number of one of your officers, employees, or affiliates.

D. Name and business address of contact *employee* :

Name:

John Doe

Title:

Director of Compliance

Number and Street 1:

123 Investor Lane

Number and Street 2:

City:

Rockville

State:

Maryland

Country:

UNITED STATES

ZIP+4/Postal

Code:

20850

Telephone Number:

555-555-5555

Electronic mail (e-mail) address, if contact *employee* has one:

email@email.com

The contact employee should be an employee (not outside counsel) who is authorized to receive information and respond to questions about this Form ADV-W.

E. Principal Office and Place of Business:

SEC/Jurisdiction

This section is only applicable to a Partial ADV-W filing (n/a for Full ADV-W filings). This section displays check boxes for the SEC and all jurisdictions. Check the box(es) with which the applicant wishes to withdraw registration.

Status			
If you are filing for partial withdrawal, indicate the jurisdictions from which you are withdrawing your investment adviser registration (or application for registration):			
(a) <input type="checkbox"/> The SEC;			
<i>Check this box if you are withdrawing your SEC registration and switching to state registration, or if you are withdrawing your application for SEC registration. If you check this box (a), you must complete only this Status Section, Items 1A through 1D, and the Execution Section. Do <u>not</u> complete Item 1E and Items 2 through 8.</i>			
(b) The state(s) for which the box(es) below are checked:			
<input type="button" value="Select All"/>			
<input type="checkbox"/> AL	<input type="checkbox"/> ID	<input type="checkbox"/> MO	<input type="checkbox"/> PA
<input type="checkbox"/> AK	<input type="checkbox"/> IL	<input type="checkbox"/> MT	<input type="checkbox"/> PR
<input type="checkbox"/> AZ	<input type="checkbox"/> IN	<input type="checkbox"/> NE	<input type="checkbox"/> RI
<input type="checkbox"/> AR	<input type="checkbox"/> IA	<input type="checkbox"/> NV	<input type="checkbox"/> SC
<input type="checkbox"/> CA	<input type="checkbox"/> KS	<input type="checkbox"/> NH	<input type="checkbox"/> SD
<input type="checkbox"/> CO	<input type="checkbox"/> KY	<input type="checkbox"/> NJ	<input type="checkbox"/> TN
<input type="checkbox"/> CT	<input checked="" type="checkbox"/> LA	<input type="checkbox"/> NM	<input checked="" type="checkbox"/> TX
<input type="checkbox"/> DE	<input type="checkbox"/> ME	<input type="checkbox"/> NY	<input type="checkbox"/> UT
<input type="checkbox"/> DC	<input checked="" type="checkbox"/> MD	<input checked="" type="checkbox"/> NC	<input type="checkbox"/> VT
<input type="checkbox"/> FL	<input type="checkbox"/> MA	<input type="checkbox"/> ND	<input type="checkbox"/> VI
<input type="checkbox"/> GA	<input type="checkbox"/> MI	<input type="checkbox"/> OH	<input checked="" type="checkbox"/> VA
<input type="checkbox"/> GU	<input type="checkbox"/> MN	<input type="checkbox"/> OK	<input type="checkbox"/> WA
<input type="checkbox"/> HI	<input type="checkbox"/> MS	<input type="checkbox"/> OR	<input type="checkbox"/> WV
			<input type="checkbox"/> WI
<i>If you check this box (b), you must complete all items of this Form ADV-W.</i>			
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>			

Notes:

- After submitting an ADV-W, it is up to the applicable regulators (SEC or state) to change the firm's registration status to Terminated. Please contact the specific regulator if there are any questions about changing the firm's status.
- This page is used to withdraw state registrations. Alternatively, if an SEC-registrant seeks to withdraw notice filings, this can be done using an Other-than-Annual Amendment. Withdrawn notice filings automatically terminate as of the end of the calendar year.

Item 4 Money Owed to Clients

This section must be answered **Yes** or **No**. If answered **Yes**, Items A and B and Schedule W2 must be completed. Schedule W2 is located in Item 7 Statement of Financial Condition.

Item 4 Money Owed to <i>Clients</i>		Yes	No
Have you (i) received any advisory fees for investment advisory services or publications that you have not rendered or delivered; or (ii) borrowed any money from <i>clients</i> that you have not repaid?		<input type="radio"/>	<input checked="" type="radio"/>
<i>Do not include in your response to this Item 4 any client funds for which you have custody and that you have included in your response to Item 3.</i>			
If yes, provide the following information:			
A. Amount of money owed to <i>clients</i> for prepaid fees or subscriptions:	\$	<input type="text"/>	.00
B. Amount of money owed to <i>clients</i> for borrowed funds:	\$	<input type="text"/>	.00
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>			

Item 5 Advisory Contracts

This section deals with any investment advisory contracts the firm has made. Item 5.A. must be answered **Yes** or **No**. If answered **Yes**, complete Item 5.B.

As part of Item 5.B., click the **Create New** button to enter the names of all persons or firms to whom your firm has assigned an advisory contract (i.e. complete Schedule W1, Section 5).

Item 5 Advisory Contracts		Yes	No
A. Have you assigned any of your investment advisory contracts to another <i>person</i> ?		<input checked="" type="radio"/>	<input type="radio"/>
If yes, provide the following information:			
B. Did you obtain the consent of each <i>client</i> prior to the assignment of the <i>client's</i> contract? <i>Client consent can be obtained through an actual consent, or can be inferred through the use of a negative consent.</i>		<input checked="" type="radio"/>	<input type="radio"/>
If you answered "yes" to Item 5A, list on Section 5 of Schedule W1, each <i>person</i> to whom you have assigned any of your investment advisory contracts. You must complete a separate Schedule W1 for each <i>person</i> to whom you have assigned any of your advisory contracts.			
No Contracts Found.			
<input type="button" value="Create New"/>			
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>			

Item 5 Advisory Contracts (Continued)

Schedule W1

Enter the name, address and phone number for each person or firm to whom your firm has assigned an advisory contract.

Schedule W1, Section 5 Other Investment Advisory Contract Assignments				
Complete the following information for each <i>person</i> to whom you have assigned any advisory contract. You must complete a separate Schedule W1 for each <i>person</i> to whom you have assigned an advisory contract.				
Name and business address of the <i>person</i> to whom advisory contracts were assigned:				
Name:				
<input type="text" value="Joe Advisor"/>				
Number and Street 1:		Number and Street 2:		
<input type="text" value="123 Investor Lane"/>		<input type="text"/>		
City:	State:	Country:	ZIP+4/Postal Code:	
<input type="text" value="Rockville"/>	<input type="text" value="Maryland"/>	<input type="text" value="UNITED STATES"/>	<input type="text" value="20850"/>	
Telephone Number:				
<input type="text" value="555-555-5555"/>				
If this address is a private residence, check this box: <input type="checkbox"/>				
<input type="button" value="Save"/> <input type="button" value="Create New"/> <input type="button" value="Reset"/>				

Item 6 Judgments and Liens

This section concerns any outstanding judgments or liens against the applicant. Item 6 must be answered **Yes** or **No**.

If answered **Yes**, Schedule W2 must be completed. Schedule W2 is located in Item 7 Statement of Financial Condition.

Item 6 Judgments and Liens
Are there any unsatisfied judgments or liens against you?
<input type="radio"/> Yes <input checked="" type="radio"/> No
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>

Item 7 Statement of Financial Condition (Schedule W2)

This section contains information regarding the firm’s assets, liabilities and net worth.

Item 7 must be completed if you answered **Yes** to Form ADV-W Items 3, 4, or 6. If all of those questions were answered **No**, please leave Item 7 blank.

Item 7 Statement of Financial Condition	
If you answered yes to Items 3, 4, or 6, you must complete Schedule W2, disclosing the nature and amount of your assets and liabilities and your net worth as of the last day of the month prior to the filing of this Form ADV-W.	
Schedule W2	
If you answered "yes" to Items 3, 4, or 6 of Form ADV-W, you are required to complete this Schedule W2. This balance sheet must be prepared in accordance with generally accepted accounting principles, but need not be audited.	
ASSETS	
<u>Current Assets</u>	
Cash	\$ <input type="text"/>
Securities at Market	\$ <input type="text"/>
Non-Marketable Securities	\$ <input type="text"/>
Other Current Assets	\$ <input type="text"/>
Total Current Assets	\$ <input type="text"/>
<u>Fixed Assets</u>	
Total Fixed Assets	\$ <input type="text"/>
TOTAL ASSETS	\$ <input type="text"/>
LIABILITIES & SHAREHOLDERS' EQUITY	
<u>Current Liabilities</u>	
Prepaid Advisory Fees	\$ <input type="text"/>
Short-Term Loans from <i>Clients</i>	\$ <input type="text"/>
Other Short-Term Loans	\$ <input type="text"/>
Other Current Liabilities	\$ <input type="text"/>
Total Current Liabilities	\$ <input type="text"/>
<u>Fixed Liabilities</u>	
Long-Term Debt Owed to <i>Clients</i>	\$ <input type="text"/>
Other Long-Term Debt	\$ <input type="text"/>
Other Long-Term Liabilities	\$ <input type="text"/>
Total Fixed Liabilities	\$ <input type="text"/>
<u>Shareholders' Equity</u>	
Total Shareholders' Equity (or Deficit)	\$ <input type="text"/>
TOTAL LIABILITIES AND SHAREHOLDERS' EQUITY	\$ <input type="text"/>
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>	

Item 8 Location of Books and Records

This section lists the name and address of any person(s) having custody of the applicant’s books and records, and the location(s) at which the books and records will be kept.

Click the **Create New** button to enter books and records information (i.e. complete Schedule W1, Section 8).

Item 8 Books and Records

This item requires you to list (i) the name and address of each *person* who has or will have custody or possession of your books and records; and (ii) each location at which any of your books and records are or will be kept. You must list this information on Schedule W1, and you must complete a separate Schedule W1 for each *person* who has or will have custody of your books and records at each location. The instructions to Form ADV-W contain additional information and examples to assist you in responding to Item 8.

NOTE: Section 204 of the Advisers Act, or similar state law, requires you to preserve your books and records after you have withdrawn from registration.

No Books and Records Found.

Schedule W1, Section 8 Books and Records

Persons With Custody or Possession of the Books and Records Kept at the Location Described Below.

Complete the following information for the *person* that has or will have custody or possession of the books and records kept at the location described in this Section 8 of this Schedule. You must complete a separate Schedule W1 for each *person* that has or will have custody of any of your books and records. If the *person* you list below has or will have custody of any of your books and records at any other location, you must complete separate Schedule(s) W1 listing this *person* and each other location of your books and records.

Name:

Number and Street 1: Number and Street 2:

City: State: Country: ZIP+4/Postal Code:

Telephone Number:

If this address is a private residence, check this box:

Location of the Books and Records of Which the *Person* Listed in this Schedule W1 Has Custody or Possession.

Complete the following information for the location where the books and records of which the *person* listed in this Section 8 of this Schedule has or will have custody or possession. You must complete a separate Schedule W1 for each location at which your records are or will be kept. If any other *person* has or will have custody or possession of any of the books and records at the location described below, you must complete separate Schedule (s) W1 listing this location and each other *person* that has or will have custody of your books and records.

Name:

Number and Street 1: Number and Street 2:

City: State: Country: ZIP+4/Postal Code:

Telephone Number:

If this address is a private residence, check this box:

Briefly describe the books and records kept at this location.

Submission Menu

Completeness Check - A firm can manually perform a Completeness Check, prior to submission, to check filings for completeness of required fields. If the filing does not pass the completeness check, the system will display a description of the error and a link to the error location.

Error Location	Error Description
Identifying Information	Item 1(D) - Contact Employee Address Street 1 is required
Identifying Information	Item 1(D) - Contact Employee Address City is required
Identifying Information	Item 1(D) - Contact Employee Address State or Country is required

Submit Filing - Submitting a filing is a two-step process: IARD automatically runs a completeness check when Submit Filing is selected. If the filing passes the completeness check, the system allows you to continue with the submission process, if the filing does not pass the completeness check, return to the screens where the errors have occurred and correct them.

1. Select **Submit Filing**.
2. Once the filing has passed the completeness check, select **Submit Filing** a second time.

[Printer Friendly](#)

Reminder: Passing a completeness check does not relieve an investment adviser of its legal and regulatory obligation to file accurate and complete information in a timely manner with the appropriate authorities.

	INVESTMENT ADVISER	Reference #:085990772088A73
Form ADV-W, Submit Filing		

WARNING

Submitting Form ADV-W to withdraw an investment adviser from registration with the SEC or one or more states may affect the registration of your RAs. Please carefully read the explanations below before submitting Form ADV-W. If you have any further questions, contact the appropriate state regulator.

For SEC-registered investment advisers filing Form ADV-W to make a full withdrawal:

When you submit a Form ADV-W to the SEC to make a full withdrawal, your SEC investment adviser registration, all notice filings in all states, *and* all RA registrations in all states will be **automatically** terminated. The IARD will notify the appropriate states that you will no longer be making notice filings.

For SEC-registered investment advisers filing Form ADV-W to make a partial withdrawal for the purpose of switching to state registration:

When you submit Form ADV-W to the SEC to withdraw from registration with the SEC for the purpose of switching to state registration, your SEC registration, any notice filing status in any jurisdiction, *and* the RA registrations of all of your supervised persons in those states with which you do *not* have an effective registration will be **automatically** terminated. The IARD will notify the appropriate states that you will no longer be making notice filings.

For state-registered investment advisers filing Form ADV-W to make a partial withdrawal for the purpose of switching to SEC registration:

When you submit Form ADV-W to withdraw from state investment adviser registrations for the purpose of switching to SEC registration, all RA registrations will be terminated unless your SEC registration is effective *and* you have made notice filings (by checking the appropriate box(es) in Item 2.B. of Form ADV).

For state-registered investment advisers filing Form ADV-W to make a partial withdrawal for the purpose of terminating some (but not all) state registrations:

When you submit Form ADV-W to withdraw from some (but not all) of your state investment adviser registrations, RA registrations will also be terminated in each state from which you have withdrawn your investment adviser registration.

ADV-W on-line completeness checks passed successfully.

Submit Filing

Print Preview - Used to view or prepare the filing for printing. You can choose to print a specific page, Item, or the entire filing.

1. Select **Print Preview** from the Submission menu

The screenshot shows the 'FORM ADV-W' submission interface. On the left, a navigation menu is visible with the following options: 'Submission' (highlighted), 'Form ADV-W', and 'Instructions'. Under 'Submission', the options are 'Completeness Check', 'Submit Filing', and 'Print Preview' (which is circled in red). Under 'Form ADV-W', the options are 'Instructions', 'Item 1 Identifying Information', 'SEC/Jurisdiction', and 'Item 2 Status of Advisory Business'. The main content area displays the title 'FORM ADV-W' and 'NOTICE OF WITHDRAWAL FROM REGISTRATION AS AN INVESTMENT ADVISER'. Below this, there is a table with the following information: OMB Number: 3235-0313; Expires: Nov. 30, 2013; Estimated average burden hours per response: 0.50. A 'Printer Friendly' icon is located in the top right corner.

2. To print the entire form filing select **All Pages** from the navigation panel. Otherwise, select the page you wish to print.

To print a specific Item on Form ADV, select **View by Sections** from the navigation panel and select the Form ADV Item you wish to print.

3. Click the **Printer Friendly** icon located on the right side of the screen

The screenshot shows the 'FORM ADV-W' submission interface. On the left, a navigation menu is visible with the following options: 'Submission', 'View Form ADV-W', and 'Instructions'. Under 'Submission', the options are 'Completeness Check', 'Submit Filing', and 'Return To Data Entry'. Under 'View Form ADV-W', the options are 'View by Sections', 'All Pages' (circled in red), 'Page 1', 'Page 2', 'Page 3', 'Page 4', 'Schedule W1', and 'Schedule W2'. Under 'Instructions', the options are 'Item 1 Identifying Information', 'SEC/Jurisdiction', and 'Item 2 Status of Advisory Business'. The main content area displays the title 'FORM ADV-W' and 'NOTICE OF WITHDRAWAL FROM REGISTRATION AS AN INVESTMENT ADVISER'. Below this, there is a table with the following information: Primary Business Name: INVESTMENT ADVISER; CRD Number: 00000; ADV-W - Partial, Page 1; Rev. 05/2003. A 'Printer Friendly' icon is circled in red in the top right corner. The main content area also includes a 'Form ADV-W' section with a warning: 'WARNING: Complete this form truthfully. False statements or omissions may result in administrative, civil or criminal action against you.' and a 'Status' section with a checkbox for '(a) The SEC:'.

Note: Advisers filing a Full ADV-W will lose access to IARD after their regulator sets their registration status to Terminated. Therefore, advisers should print or save submitted ADV-W filings if they would like to a copy for their files.

Pending and Historical ADV-W Filings

IARD™

CRD Main | IARD Main | PFRD Main | Forms | Organization | E-Bill | Reports

Site Map | User Info

IARD Main	Forms	Organization
User Info	ADV	View Organization
FAQ - IARD.COM	New/Draft Filing	Brochure Search
FAQ - NASAA.ORG	Generate a Private Fund Identification Number	Identifying Information
FAQ - SEC.GOV	Historical Filing	Registration/Reporting Status
Release Notes	ADV-W	Notice Filing Status
IA Setting and Standard Fees	New Filing	Brochure Status
Recommended Browsers	Pending Filing	Answers to Questions
Send Comments	Historical Filing	Form of Organization

Pending Filing: Firms can retrieve a Form ADV-W filing that has already been created for the firm but not yet submitted. Form ADV-W filings remain pending for up to 120 days, after which, the filing will be automatically deleted from the system.

? Printer Friendly

Your request returned the following:

Select ADV-W Filing

- Organization Search
- New Filing
- Pending Filing**
- Historical Filing

Reference #	Submission Status	Primary Business Name	Creation Date	Expected Purge Date	Delete
75055173468A927	Pending Submission	INVESTMENT ADVISER	08/03/2011	12/01/2011	Delete

Historical Filing: This feature allows users to view and/or print previously submitted Form ADV-W filings (full filings, or filings with changes in “redline mode”). Firms can only view filings that they have submitted. Redlining will not display across form versions.

? Printer Friendly

Select ADV-W Filing

- Organization Search
- New Filing
- Pending Filing
- Historical Filing**

ADV-W - Filing History

Filing Date	Filing Type	Corrections Filing	View Filing	View in Redline Mode
11/24/2009	Partial	No	View	View
11/07/2006	Partial	No	View	View
12/02/2005	Partial	No	View	View
11/15/2004	Partial	No	View	View
03/22/2004	Partial	No	View	View
01/28/2004	Partial	No	View	View
11/21/2002	Partial	No	View	View
11/27/2001	Partial	No	View	View