

Investment Advisor Applications

To become a Registered Investment Advisor you are required to file an application with your home state. If total assets under Supervisory Management exceed \$30 million, then you must also file with the SEC.

Although states and the SEC do provide instruction on how to apply, most applicants elect to use a consultant familiar with the terms, paperwork and method of filing.

If you prepare the application yourself, you will spend a lot of time learning exactly what the SEC and states need, the proper format, the method of submission, and the submission deadlines, but will incur few additional costs. Conversely, if you retain someone to assist you in these efforts, you will save time and effort, but will need to pay for these services.

If you enlist National Compliance Consultants to assist, you can complete the application in as little as four (4) weeks, though most applications take between six (6) and eight (8) weeks to complete and secure registration.

Whether you elect to do it yourself, or to hire someone to assist you, the first things you will need to do are:

1. Decide the structure (corporation, partnership, LLC, sole proprietor)
2. Decide on the name
3. Verify the name is available in the firm's home state
4. File organization papers (corporation, partnership, LLC, sole proprietor)
5. Get a Federal Employer Identification Number (FEIN)
6. Start a banking relationship (checking and savings accounts).

NCCI has the experience and knowledge to make the application process as quick and problem free as possible. We provide a "turnkey" Investment Advisor product, including:

- Forms for filing
 - SEC
 - State of corporate domicile
 - State - additional as required due to client base
- Insider Trading Procedures
- Trade Allocation Procedures
- Cold Calling procedures
- Written Compliance Procedures manual
- Financial statements
- Responses to inquiries from regulators

- Other Guidance

NCCI remains available to provide client support and assistance for three (3) full months after your Investment Advisor registration becomes effective.

If you elect to complete the Form ADV, Parts I, II, and related schedules internally, NCCI can review them for consistency and adequate disclosure prior to your actual filing. We will consult with you via telephone with the results of our review and our recommendations. Once completed, you or if you prefer NCCI, can make the recommended modifications.