



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS

SECURITIES DIVISION

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INVESTMENT ADVISER FISCAL YEAR END REPORT

(Due within 90 days of the end of fiscal year)

Item 1. Investment Adviser

Firm Name _____ IARD No. _____
State of Adviser's Principal Place of Business _____ Fiscal Year _____

Item 2. Form ADV

*Note: You are required to review and file an annual updating amendment to Part 1 of your Form ADV **and** upload an updated annual updating amendment to Part 2 of your Form ADV within 90 days of the end of your fiscal year. Part 1 must be filled out and filed on IARD. Part 2 must be uploaded to IARD.*

Date last **annual** updating amendment to Form ADV Part 1 was filed on IARD: _____

Date last **annual** updating amendment to Form ADV Part 2 was uploaded to IARD: _____

Item 3. Financial Report

Note: Attach a copy of the investment adviser's balance sheet dated as of the end of its most recent fiscal year to this form. An interim financial statement will not satisfy this requirement. The balance sheet must be prepared in accordance with generally accepted accounting principles (GAAP).

Is the investment adviser able to meet its obligations and pay its debts as they come due in the ordinary course of business? Yes No

For an investment adviser whose principal place of business is in Washington State:

Note: If the investment adviser has discretion, the balance sheet must show a net worth of at least \$10,000, and if the investment adviser has custody of client funds or securities, it must show a net worth of at least \$35,000 absent an exception.

Does the firm have discretionary authority over client funds or securities? Yes No

Does the firm have custody of client funds or securities? Yes No

Does the firm have a surety bond in place? Yes No

If yes, what is the *amount* and *effective date* of the bond? _____

Does the firm have a subordination agreement in place? Yes No

If yes, what is the *current amount* and *effective date* of the subordination agreement? _____

This information regarding your subordination agreement must be included as a note on your balance sheet.

If no, did the firm previously have a subordination agreement? Yes No

Why is this agreement no longer in place? _____

For an investment adviser whose principal place of business is outside of Washington:

Is the investment adviser in compliance with any net worth or capital requirements imposed by the state of its principal place of business? Yes No

Item 4. Certification

In submitting this report, I certify that I am a principal of the adviser and the information provided in this report is true and complete to the best of my knowledge.

Name: _____ Typed Signature: _____

Title: _____ Date: _____

Please email this Fiscal Year End Report **and** your GAAP compliant Balance Sheet to IARenewal@dfi.wa.gov.