

**INVESTMENT ADVISER  
FISCAL YEAR END REPORT**  
(Due within 90 days of the end of fiscal year)



Intentional misstatements or omissions of fact  
constitute criminal violations. See RCW 21.20.400.

**Item 1. Investment Adviser**

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Firm Name \_\_\_\_\_ IARD No. \_\_\_\_\_

This report is for the \_\_\_\_\_ State of adviser's principal  
fiscal year ended: \_\_\_\_\_ place of business: \_\_\_\_\_

**Item 2. Form ADV**

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*Note: You are required to review Part I of your Form ADV and file an annual updating amendment within 90 days of the end of your fiscal year. In addition, you must review your firm's Form ADV Part II and file an amendment with the Securities Division if any changes are necessary.*

Date last annual updating amendment to Part I of Form ADV was filed on IARD: \_\_\_\_\_

Check one of the following:

- I have reviewed my firm's Form ADV Part II and no changes are necessary.  
 I have reviewed my firm's Form ADV Part II and an amendment has been filed with the Securities Division or is enclosed with this report.

**Item 3. Financial Report**

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**Balance sheet:** Attach a copy of the investment adviser's balance sheet dated as of the end of its most recent fiscal year to this form. If you have already filed the balance sheet, mark this box: . The balance sheet must be prepared in accordance with generally accepted accounting principles.

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:**

*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. If the adviser is unable to satisfy these requirements, a surety bond must be obtained.*

Does the firm have discretionary authority over client funds or securities? Yes  No   
If so, does the firm have a net worth of at least \$10,000? Yes  No

Does the firm have custody of client funds or securities? Yes  No   
If so, does the firm have a net worth of at least \$35,000? Yes  No

If the firm does not have sufficient net worth, does it have a surety bond? Yes  No   
If so, what is the amount of the bond? \_\_\_\_\_  
If not, does the firm have a subordination agreement in place? Yes  No

**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**

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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.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name and title: \_\_\_\_\_ Phone number: \_\_\_\_\_