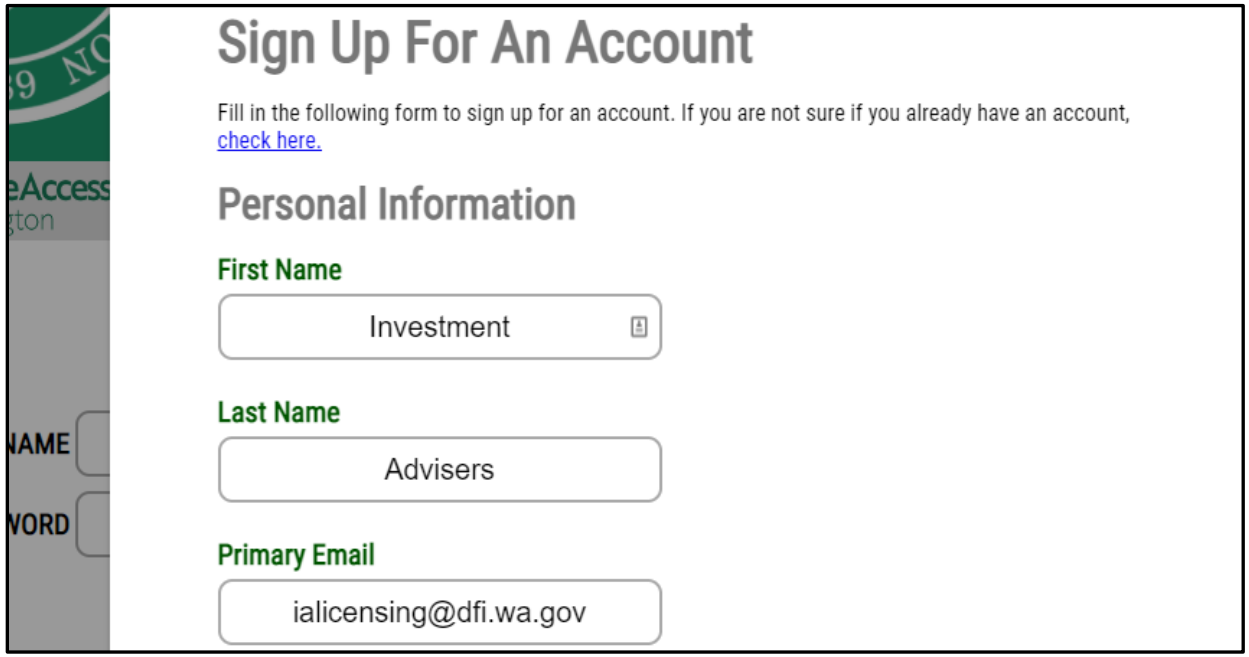
eFin Filing Manual

1. Create a State of Washington (SAW) account by accessing the portal: https://secureaccess.wa.gov/myAccess/saw/select.do (skip to step 4 if you already have a SAW account)

   ******Please note:***
   - *If you are a consultant filing on behalf of multiple advisers, you may do so by creating only one SAW account.*

2. Create a username and password to create a SAW account:



3. Once an account is created, you will receive an email from secureaccess@cts.wa.gov with a link to activate your account:

From: secureaccess@cts.wa.gov <secureaccess@cts.wa.gov>
Sent: Thursday, March 17, 2022 1:31 PM
To: DFI MI Sec IA Licensing <ialicensing@dfi.wa.gov>
Subject: SecureAccess Washington : Welcome to SecureAccess Washington

You are almost finished, Investment...

Thank you for signing up with Secure Access Washington.

Your username is: investmentadvisers

To activate your account, please click: https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Ftest-secureaccess.wa.gov%2Fpublic%2Fsaw%2Fpub%2FregConfirm.do%3Fs%3D83317%26userId%3Dinvestmentadvisers&data=04%7C01%7Cjennifer.maine%40dfi.wa.gov%7Cee1aeba0023947d98eb208da08557247%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C637831460322619703%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=tuDpVZp1e3oNNMf5kErXllZenUqsUdbVfhyuOe9UAnA%3D&reserved=0

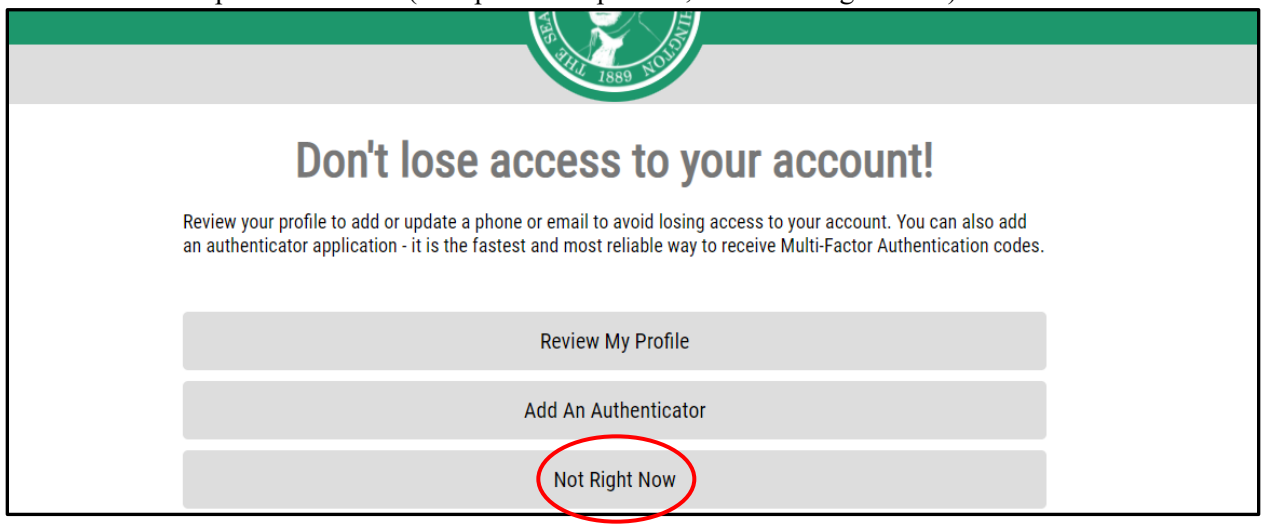
For questions or concerns about your SecureAccess Washington account, please visit https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Ftest-secureaccess.wa.gov%2Fpublic%2Fsaw%2Fpub%2Fhelp.do&data=04%7C01%7Cjennifer.maine%40dfi.wa.gov%7Cee1aeba0023947d98eb208da08557247%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C637831460322619703%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=vmFJ%2BwciEIIU751uK5Cqc2ZE01k6JkzUMgjl54a1Tro%3D&reserved=0

Thank you,
The Secure Access Washington Team

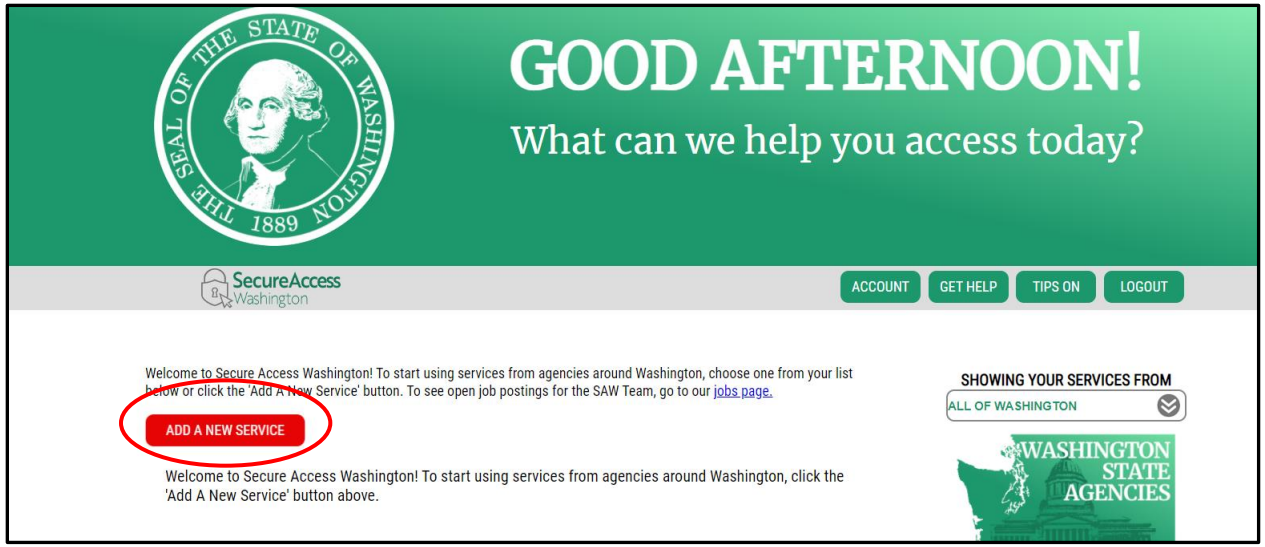
This is an automated message sent by the SecureAccess Washington CUSTOMER TEST environment. THIS IS NOT PRODUCTION.
Login at https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Ftest-secureaccess.wa.gov%2F&data=04%7C01%7Cjennifer.maine%40dfi.wa.gov%7Cee1aeba0023947d98eb208da08557247%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C637831460322619703%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=5j%2BsEIXj433pH6v%2BadyN6Tt4OUN5CM%2Bpe33Yxado398%3D&reserved=0
If you require assistance, please leave us a note at https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Ftest-secureaccess.wa.gov%2Fpublic%2Fsaw%2Fpub%2Fhelp.do&data=04%7C01%7Cjennifer.maine%40dfi.wa.gov%7Cee1aeba0023947d98eb208da08557247%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C637831460322619703%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=vmFJ%2BwciEIIU751uK5Cqc2ZE01k6JkzUMgjl54a1Tro%3D&reserved=0

4. Log into your SAW account:

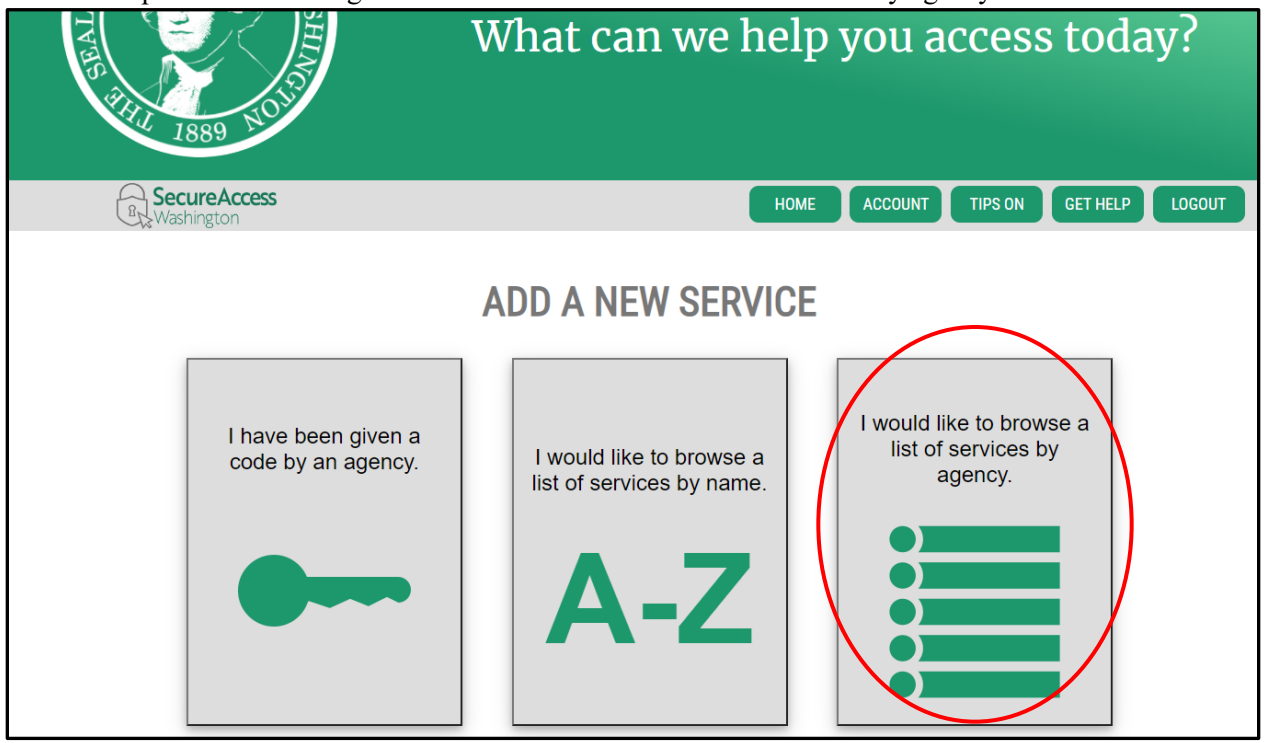
5. Click one of the options available (to expedite the process, click “not right now”):



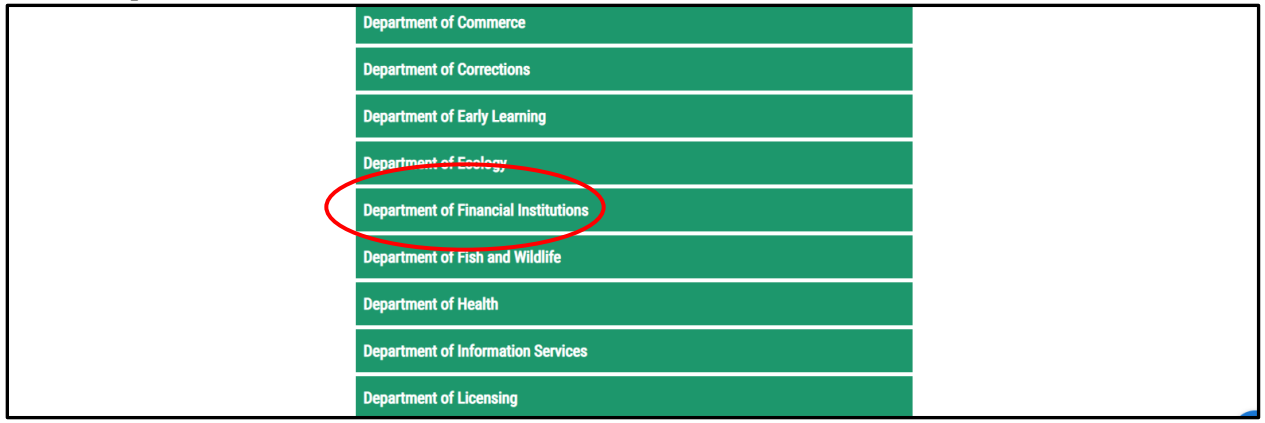
6. Click “Add a new service”



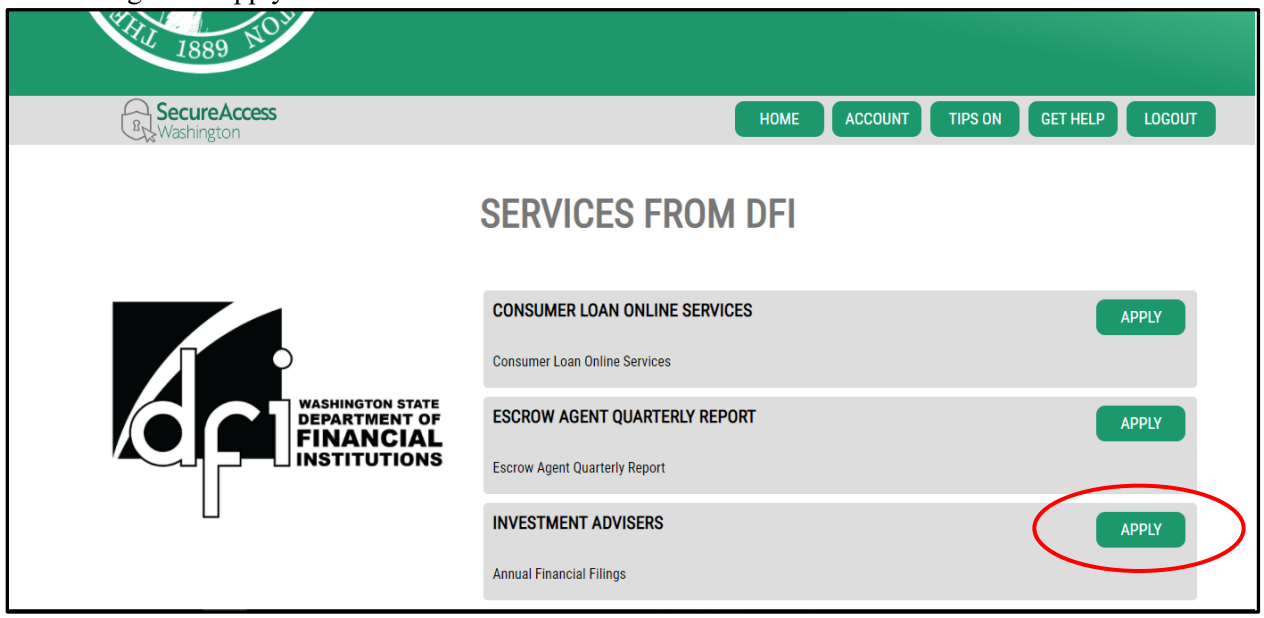
7. Select the option on the far right “I would like to browse a list of services by agency.”



8. Select “Department of Financial Institutions”:



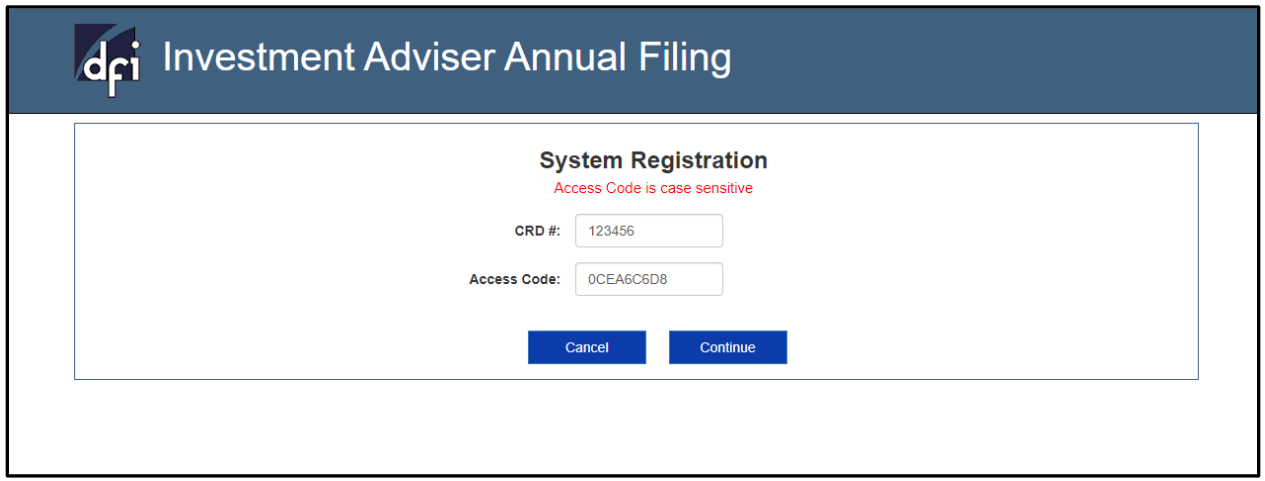
9. Select the green “Apply” button next to the “Investment Advisers” service:



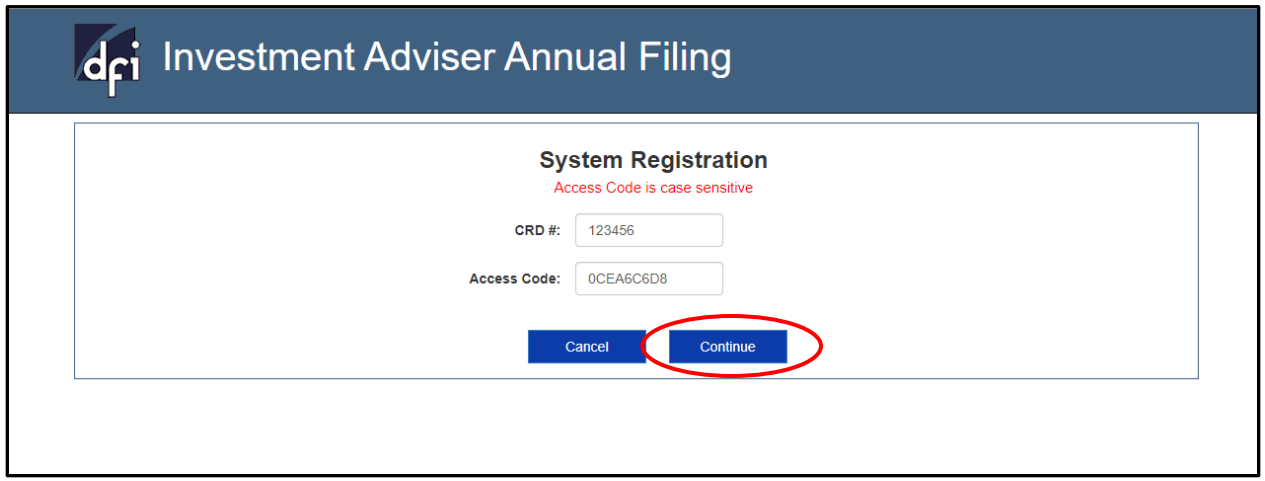
10. The system will then navigate you to the eFin filing system. You will then enter the **Firm’s** CRD number and the access code previously sent to the mailing address listed on CRD.

****** Please note:***

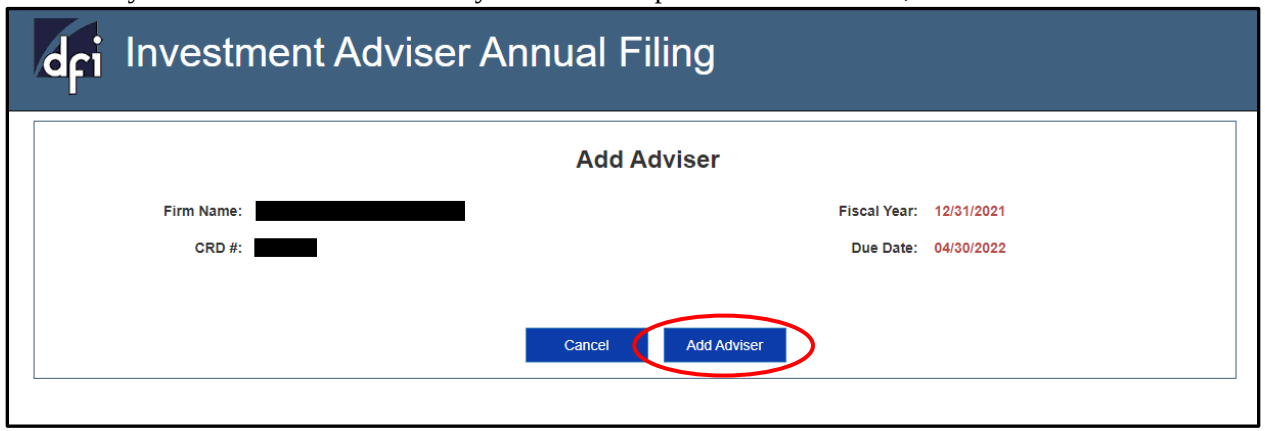
- *You will need to enter the **Firm’s** CRD number, do not enter a CRD number for an **Individual** (even if you are a sole proprietor)*
- *The access code is case sensative*



11. Click “Continue”:



12. Verify the information for the adviser listed on the screen below is correct and click “Add Adviser”, if the information is incorrect, click “cancel”:
Please note:
    - By clicking “Cancel” the system will redirect you to re-enter your access code
    - If you are unable to access the system with the provided access code, contact the Securities Division at (360) 902-8815



13. A list of questions will appear, answer all questions to proceed to the next screen and click “continue”:

Fiscal Information

Firm Name: [redacted]

CRD #: [redacted]

Fiscal Year: 12/31/2021

Due Date: 04/30/2022

Please answer the following questions:

1. Does the **Adviser** or a ***Related Person*** have **discretionary authority** for a client's account? ○ **Yes** ○ **No**

2. Does the **Adviser** or a ***Related Person*** have **custody** of client funds or securities? ○ **Yes** ○ **No**

3. Does the **Adviser** serve as an investment adviser to any **private fund**? If you only serve as a subadviser to a private fund that is managed by a different registered investment adviser, you may answer this question "no." ○ **Yes** ○ **No**

4. Does the **Adviser** or a ***Related Person*** of the Adviser act as general partner, managing member, or person serving in a similar capacity, for any **pooled investment vehicle**? ○ **Yes** ○ **No**

5. Does the **Adviser** or a ***Related Person*** act as investment adviser and a **trustee** for any trust, or act as a trustee for any trust in which your advisory clients are beneficiaries of the trust? ○ **Yes** ○ **No**

6. Does the **Adviser** or a ***Related Person*** have the **authority to transfer client funds to a third-party** (for example through a third party standing letter of authorization (SLOA))? If you only have the authority to directly debit your advisory fees and you are complying with WAC 460-24A-106, you may answer this question "no." ○ **Yes** ○ **No**

7. Does the **Adviser** utilize a **subordination agreement** to meet its minimum net worth requirement? ○ **Yes** ○ **No**

8. Does the **Adviser** utilize a **bond** to meet its minimum net worth requirement? ○ **Yes** ○ **No**

Please note the following:

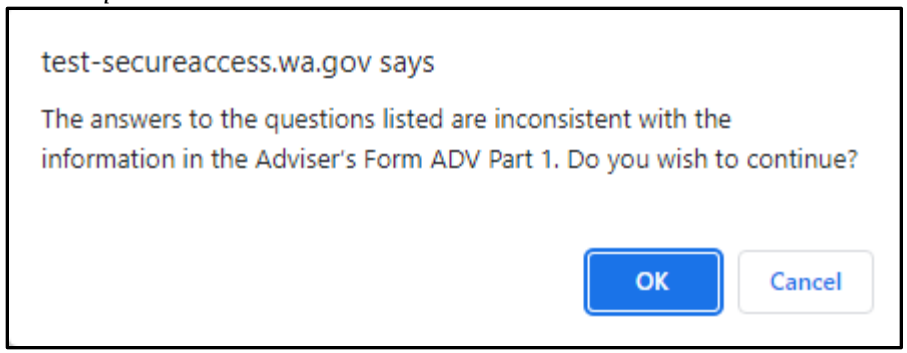
- **Pooled Investment Vehicle:** If your firm manages a private fund, you are required to submit a copy of your annual fund audit per WAC 460-24A-060.
- **Custody:** If you have custody and comply with WAC 460-24A-107(1)(b), please provide a copy of your audited balance sheet.
- **Bond:** If you utilize a bond to meet your minimum net worth requirement, you must file a copy of the bond renewal confirmation from the insurance company every year with the Securities Division. You will be able to file this document on the next page.
- **Subordination Agreement:** If you utilize a subordination agreement to meet your minimum net worth requirement, you must file a copy of that agreement every year with the Securities Division. You will be able to file this document on the next page.

Cancel | Continue

14. If any of the answers to the questions listed below do not match the answers to the questions listed on the adviser's ADV1, you will receive a pop up message:

Please note:

- *A pop up message does not prevent the adviser from proceeding to the next screen. Click "Ok" to continue or "cancel" to change an answer to any of the questions.*

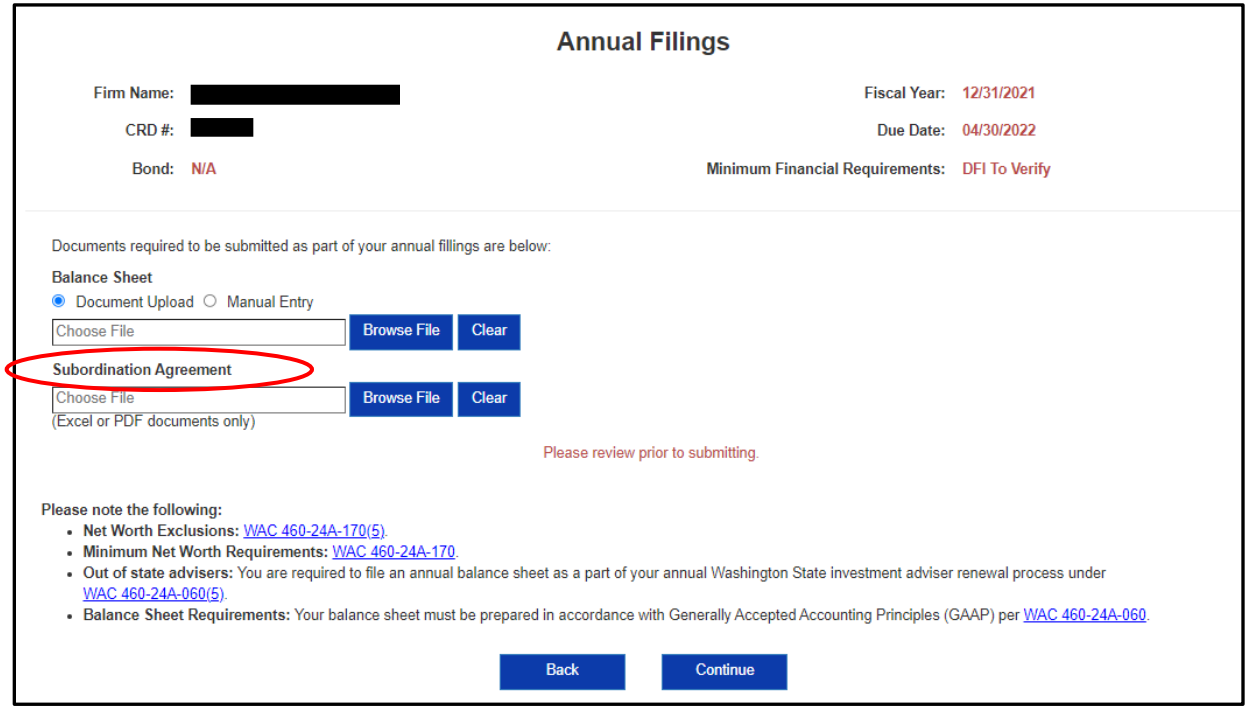


15. A list of filings will be displayed according to the answers from the previous screen's questions:

Please note:

- *the following filing types will be displayed in order to be filed if the answers to the questions on the previous screen were answered yes and/or if the correlating question on the adviser's ADV1 is answered yes:*
    - *Bond*
    - *Private fund (will be listed by fund type)*
    - *Subordinating agreement*

The adviser answered "yes" on the previous screen to the question "Does the Adviser utilize a subordination agreement to meet its minimum net worth requirement?" Therefore, a box to upload a subordination agreement is provided on the screen below:



16. Balance Sheet filings: Advisers are given the option to upload their balance sheet to the system or to manually enter the balance sheets once line item at a time. Use the radio buttons provided to choose which option to use:

Manual Entry:

Documents required to be submitted as part of your annual fillings are below:

Balance Sheet

○ Document Upload ◉ Manual Entry

As of Date: 12/31/2021

ASSETS

+ CURRENT ASSETS

TOTAL CURRENT ASSETS: 0.00

+ FIXED ASSETS

TOTAL FIXED ASSETS: 0.00

+ OTHER ASSETS

TOTAL OTHER ASSETS: 0.00

TOTAL ASSETS: 0.00

LIABILITIES

+ CURRENT LIABILITIES

TOTAL CURRENT LIABILITIES: 0.00

+ LONG-TERM LIABILITIES

TOTAL LONG TERM LIABILITIES: 0.00

+ OTHER LIABILITIES

TOTAL OTHER LIABILITIES: 0.00

TOTAL LIABILITIES: 0.00

+ EQUITY

TOTAL EQUITY: 0.00

TOTAL LIABILITIES & EQUITY: 0.00

Subordination Agreement

Choose File | Browse File | Clear

(Excel or PDF documents only)

Or

Document Upload:

Annual Filings

Firm Name: [redacted]

CRD #: [redacted]

Bond: N/A

Fiscal Year: 12/31/2021

Due Date: 04/30/2022

Minimum Financial Requirements: DFI To Verify

Documents required to be submitted as part of your annual fillings are below:

Balance Sheet

Document Upload Manual Entry

Choose File Browse File Clear

Subordination Agreement

Choose File Browse File Clear

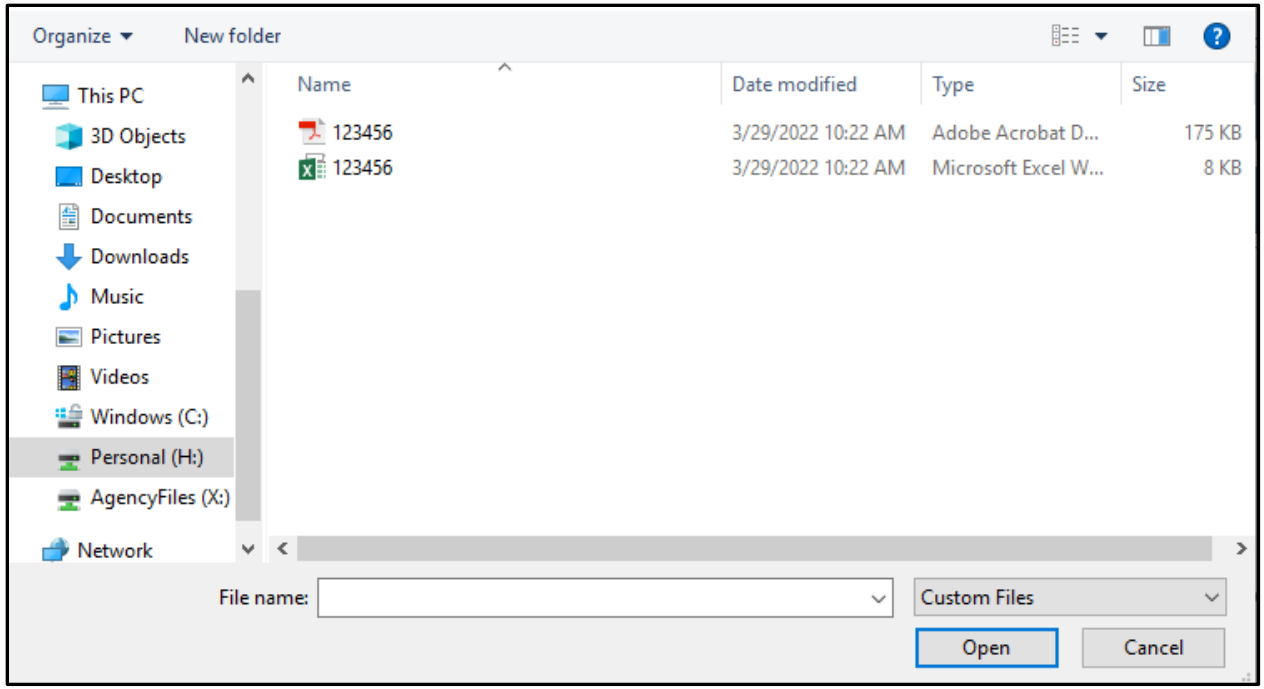
(Excel or PDF documents only)

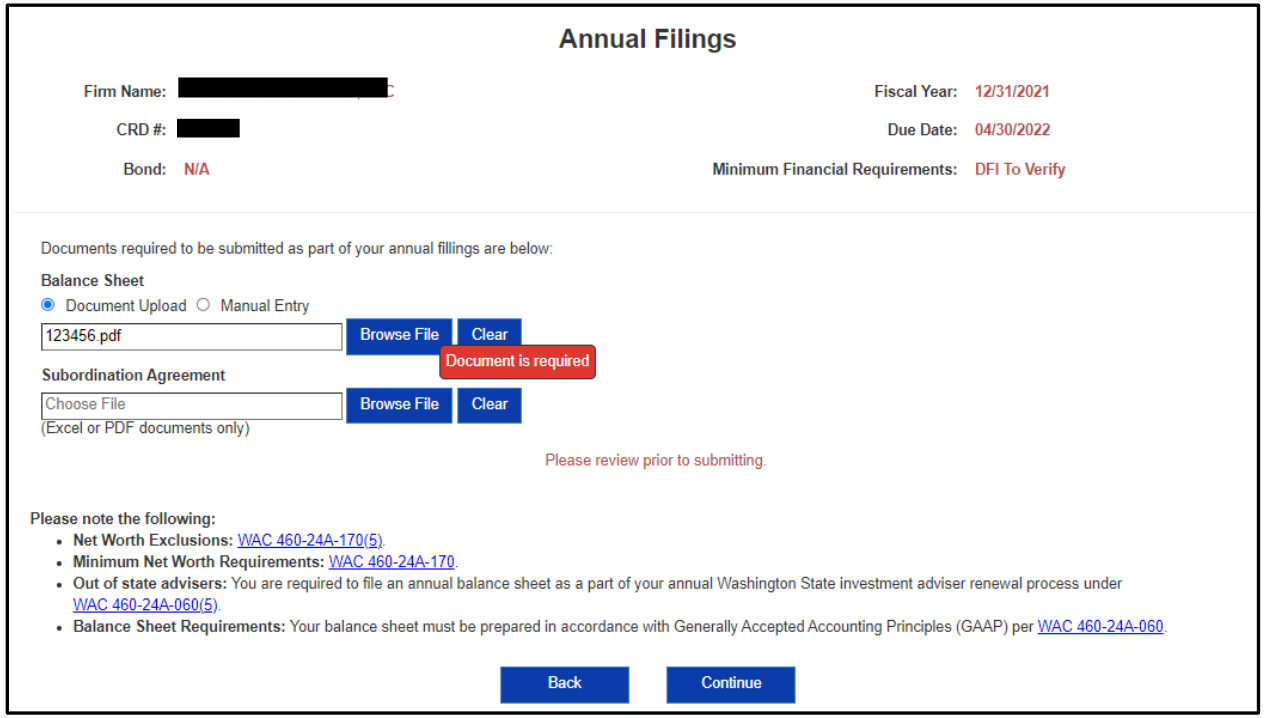
Please review prior to submitting.

Please note the following:

- **Net Worth Exclusions:** WAC 460-24A-170(5).
- **Minimum Net Worth Requirements:** WAC 460-24A-170.
- **Out of state advisers:** You are required to file an annual balance sheet as a part of your annual Washington State investment adviser renewal process under WAC 460-24A-060(5).
- **Balance Sheet Requirements:** Your balance sheet must be prepared in accordance with Generally Accepted Accounting Principles (GAAP) per WAC 460-24A-060.

Back Continue

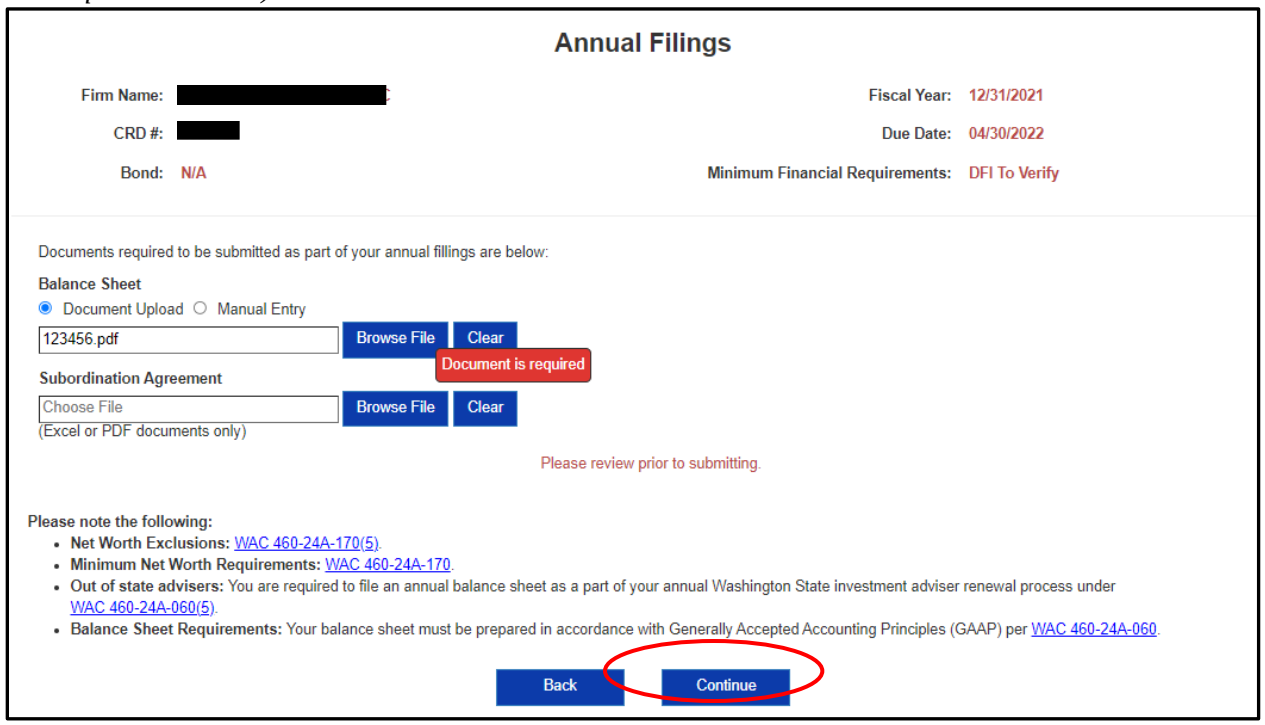

Organize
New folder
This PC
3D Objects
Desktop
Documents
Downloads
Music
Pictures
Videos
Windows (C:)
Personal (H:)
AgencyFiles (X:)
Network
Name
Date modified
Type
Size
123456
3/29/2022 10:22 AM
Adobe Acrobat D...
175 KB
123456
3/29/2022 10:22 AM
Microsoft Excel W...
8 KB
File name:
Custom Files
Open
Cancel


Annual Filings
Firm Name:
CRD #:
Bond: N/A
Fiscal Year: 12/31/2021
Due Date: 04/30/2022
Minimum Financial Requirements: DFI To Verify
Documents required to be submitted as part of your annual fillings are below:
Balance Sheet
Document Upload
Manual Entry
123456.pdf
Browse File
Clear
Document is required
Subordination Agreement
Choose File
Browse File
Clear
(Excel or PDF documents only)
Please review prior to submitting.
Please note the following:
Net Worth Exclusions: WAC 460-24A-170(5).
Minimum Net Worth Requirements: WAC 460-24A-170.
Out of state advisers: You are required to file an annual balance sheet as a part of your annual Washington State investment adviser renewal process under WAC 460-24A-060(5).
Balance Sheet Requirements: Your balance sheet must be prepared in accordance with Generally Accepted Accounting Principles (GAAP) per WAC 460-24A-060.
Back
Continue

17. Once all documents have been uploaded or completed, click “continue.”

******Please note:***

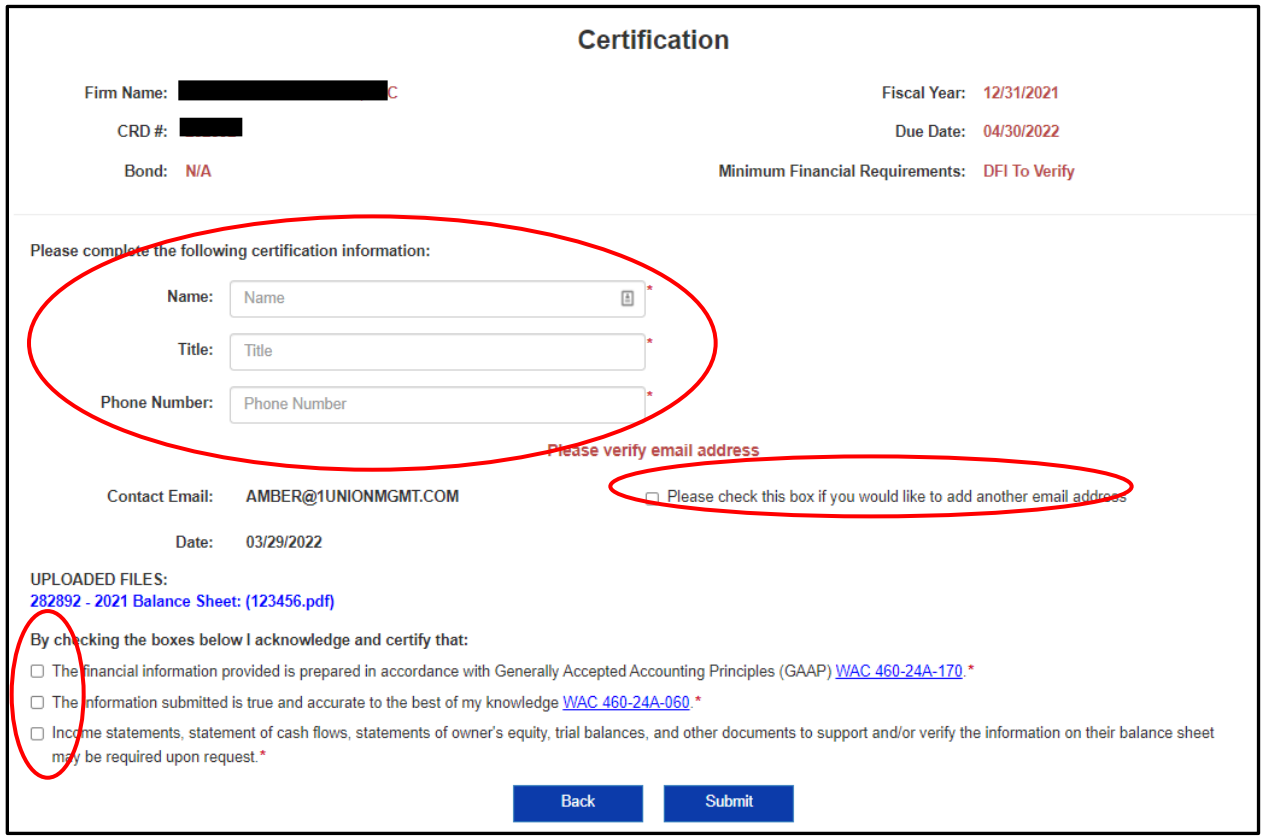
- *Adviser’s can submit one filing at a time and access the system at a later time if necessary (please be sure to submit all required documents by the required due date)*



18. Complete the information of the individual filing the Adviser's information and check the check boxes to attest the information is true and accurate, select "submit":

******Please note:***

- *A filing confirmation will be provided to the email address listed. If you wish to receive a filing confirmation to a second email address, check the "Please check this box if you would like to add another email address"*
- *The names of all files uploaded in the previous screen will be listed under the "Uploaded Files" section of the screen*
- *All information needs to be completed and all check boxes must be selected to proceed to the next screen*



Certification

Firm Name: [redacted] C

CRD #: [redacted]

Bond: N/A

Fiscal Year: 12/31/2021

Due Date: 04/30/2022

Minimum Financial Requirements: DFI To Verify

Please complete the following certification information:

Name: Investment Advisers *

Title: Securities *

Phone Number: 360-902-8815 *

Please verify email address

Contact Email: AMBER@1UNIONMGMT.COM

☐ Please check this box if you would like to add another email address

Date: 03/29/2022

UPLOADED FILES:
282892 - 2021 Balance Sheet: (123456.pdf)

By checking the boxes below I acknowledge and certify that:

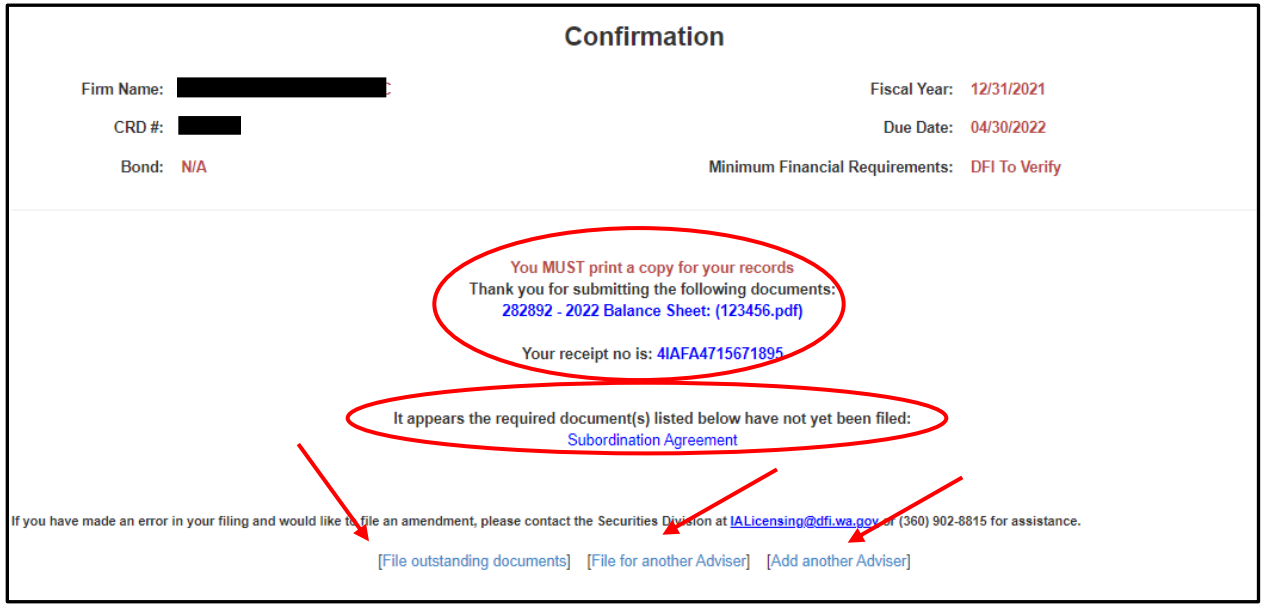
- ☑ The financial information provided is prepared in accordance with Generally Accepted Accounting Principles (GAAP) WAC 460-24A-170.*
- ☑ The information submitted is true and accurate to the best of my knowledge WAC 460-24A-060.*
- ☑ Income statements, statement of cash flows, statements of owner's equity, trial balances, and other documents to support and/or verify the information on their balance sheet may be required upon request.*

Back Submit

19. A confirmation page will be displayed with a confirmation number listing all filings and the names of the documents uploaded.

Please note:

- *If any other filings are required they will be listed on this screen under "It appears the required document(s) listed below have not yet been filed"*
- *To file any outstanding documents, select the "File outstanding documents" link*
- *If you are responsible to file for more than one Adviser and would like to add another adviser, select the "Add another Adviser" link*
- *If you are responsible to file for more than one Adviser and have already added them to the system using a separate access code, select the "File for another Adviser" link*



Confirmation

Firm Name: [redacted]

CRD #: [redacted]

Bond: N/A

Fiscal Year: 12/31/2021

Due Date: 04/30/2022

Minimum Financial Requirements: DFI To Verify

You MUST print a copy for your records
Thank you for submitting the following documents:
282892 - 2022 Balance Sheet: (123456.pdf)

Your receipt no is: 4IAFA4715671895

It appears the required document(s) listed below have not yet been filed:
Subordination Agreement

If you have made an error in your filing and would like to file an amendment, please contact the Securities Division at IALicensing@dfi.wa.gov or (360) 902-8815 for assistance.

[File outstanding documents] [File for another Adviser] [Add another Adviser]