

## **Investment Adviser Registration Requirements Continued -**

**For Louisiana domiciled Investment Adviser (IA) firms applying for state registration, the following additional documentation must be filed with this Office:**

- 1) Copies of all versions of client agreements/contracts the IA firm intends to use are required.
- 2) A list of documents is required for the documents that will be included for any versions of new client account kits the IA firm intends to use.
- 3) An IA firm income statement is required to be submitted (prepared in accordance with generally accepted accounting principles [GAAP]) and that corresponds with the required submission of the firm's current balance sheet (that is also GAAP compliant and is as of a date within 90 days prior to the IA firm's filing date). These financial statements do not have to be certified by an independent public accountant.
- 4) Copies are required of any arrangements/agreements/contracts for loans made by or extended to the IA firm, which will be continued, or newly established, upon the IA firm's Louisiana registration approval.
- 5) Copies are required to be submitted of privacy policy notice(s) to be given to the IA firm's "Customers"/"Consumers" (necessary to comply with the Federal Trade Commission's (FTC) Financial Privacy Rule (16 CFR Part 313).
- 6) A copy is required of the IA firm's written information security program (necessary to comply with the FTC's Safeguards Rule and the FTC's Disposal Rule (16 CFR Parts 314 and 682, respectively).
- 7) Copies are required of any of the IA firm's other supervisory policies/procedures/compliance manuals.
- 8) Copies are required of all of the IA firm's employment & compensation arrangements/agreements/contracts for each individual (including independent contractors) who will serve as a Louisiana IA Representative for the IA firm (for which the IA firm must submit, through the IARD, a Form U4 for approval). This applies to all arrangements/agreements/contracts that will be continued, or newly established, upon each IA Representative's Louisiana registration approval.
- 9) Copies are required of all applicable solicitor documents, if the IA firm intends to utilize a solicitor(s) or act as a solicitor.
- 10) If the IA firm's business, in whole or part, will involve pooled investment vehicle(s) or hedge fund(s), copies are required of all private placement memorandum(s), limited partnership agreement(s), subscription agreement(s), and gatekeeper arrangement(s).
- 11) Copies are required of any agreements/contracts with Broker/Dealer firms (including wrap fee programs), that will be continued, or newly established, upon the IA firm's Louisiana registration approval.
- 12) A list is required of all other affiliate and non-affiliate company arrangements/agreements/contracts with the IA firm, that will be continued, or newly established, upon the IA firm's Louisiana registration approval.

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**Updated March 3, 2011**