

FILING REQUIREMENTS FOR NY FIRMS

	<u>NY REGISTRATION</u>	<u>SEC/NY Notice Filed</u>
<u>FEE</u>	\$200	\$200
<u>ADV</u>	Parts 1A, 1B, 2A, 2B	Parts 1A, 2A
<u>FINANCIAL STATEMENTS</u> <u>(Filed annually – see FAQs)</u>	Certified Balance Sheet + Income Statement	NO
<u>RA's</u>	Principals, Supervisors and IARs, Form U4 and Part 2B	IARs Form-U4

For more information: http://www.ag.ny.gov/investor_protection/investment-advisers-fags