

South Carolina Investment Adviser/Investment Adviser Representative Check List

New filings by Investment Advisers must be made by completing and submitting the Form ADV on the IARD System. To register investment adviser representatives, complete and submit the Form U-4 via the Web CRD System. If an investment adviser representative is not currently registered with FINRA, they will be required to submit a criminal records history from the South Carolina Law Enforcement Division. The fees of \$210 for the firm and \$55 for each investment adviser representative will be deducted from your account and credited to the state. The fee is not prorated for partial year registration. **All registrations/notice filings expire on December 31 of the year filed.** Renewals will be handled through the IARD Renewal Program, which is administered by FINRA.

Additional information about common deficiencies in registration documents filed with our office can be found in [Avoiding Common Deficiencies in Filings](#).

Please file the following items directly with the Securities Division:

1. The investment adviser's standard client contract(s), which comply with Regulation 13-502 A (16);
2. [Surety Bond](#), if required;
3. A balance sheet **and** income statement for the firm dated within 45 days of the submission, attested to by executing and filing the [Verification Form](#);
4. A list of investment adviser representatives doing business in SC and their CRD numbers; and
5. [SLED records check](#) for each representative that is not registered with FINRA.

Street Address:

Office of the Attorney General
Securities Division
Rembert C. Dennis Building
1000 Assembly Street
Columbia, SC 29201

If you have any questions regarding registration, please contact the Securities Division at (803) 734-9916.