

Once Registered

Amendments

Amendment for Material Changes:

Section 406(2) of the Michigan Uniform Securities Act, PA 551 of 2008 (the Act), indicates that if the information contained in any document previously filed with the CSCL becomes inaccurate or incomplete in any material respect, the Registrant shall promptly file a correcting amendment.

Annual Amendment:

An investment adviser shall, within 30 days of any event requiring an amendment, file electronically with IARD, pursuant to the instructions in the Form ADV, any amendments to the investment adviser's Form ADV. Questions regarding the IARD system should be directed to the IARD Call Center at (240) 386-4848.

Within 90 days of the end of the investment adviser's fiscal year, an investment adviser shall file electronically with the IARD an annual updating amendment to the Form ADV. Refer to Rule 451.4.10(4) & (5).

Amendment to Contract:

Amendments to the investment advisory contract must also be filed within 30 days of a material change. Amendments to the items must be done in hardcopy to the address below with all amendments highlighted in yellow. Failure to do so will result in the amendments being returned. It is strongly encouraged that the Registrant submits all documentation to CSCL by some format requiring signed delivery confirmation. The amendments are effective upon receipt by CSCL. **Do not wait for some form of confirmation from CSCL.**

Surety Bond

Ensure that your firm is in compliance with the net worth requirements prescribed by R 451.4.14 and R 451.4.17 promulgated under the Michigan Uniform Securities Act (MUSA), and file a surety bond with the Department, as required.

If, at any time during registration, your firm's net worth falls below the requirements, you must notify CSCL by the close of business on the next business day. Failure to do so may result in administrative action by the Department.

The surety bond shall be renewed and adjusted annually on December 31, and new evidence of surety shall be filed with the Department.

Renew

State of Michigan Ongoing Requirements for registered Investment Advisers

If you intend to continue to conduct business in Michigan as a registered investment adviser, you must renew every year. This includes all newly registered firms as well as existing firms. See "Investment Advisers: How to Renew".

Contact Us:

Department of Licensing and Regulatory Affairs (LARA)

Corporations, Securities & Commercial Licensing Bureau (CS&CL)

Securities and Audit Division

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