

Reminder: Renewal and Notice Filing Fees for Investment Advisers Due by December 18

Written by Robert G. Sawyer

December 6, 2017

As a reminder, investment advisers who are subject to any state registration, renewal or notice filing fees must have funded their IARD accounts by **December 18** in order to cover such fees (with a recommendation from IARD to initiate any funds transfer no later than **December 15** in order to allow 2 to 3 business days for processing. This deadline applies to the following advisers and representatives:

- State-registered investment advisers
- State-exempt reporting advisers (including those that are also SEC-exempt reporting advisers)
- SEC-registered advisers that are required to make notice filings with one or more states
- All investment adviser representatives

Fees must be paid through the IARD website and should be deposited into the **renewal** account. Funds must be posted to advisers' renewal accounts by December 18. **An adviser who fails to fund the account by this deadline will have to discontinue its investment advisory business after December 31, 2017.** Annual amendments to Form ADV are due within 90 days of an adviser's fiscal year end, or by March 31, 2018 for advisers with a December 31 fiscal year end.

Federal filing fees for SEC-registered advisers and SEC-exempt reporting advisers are collected separately in connection with the annual update to the Form ADV that must be filed by such advisers.

Additional information about obtaining your renewal statement and funding your account is **available here**.

RELATED INDUSTRIES

- [Investment Management](#)
- [Professional Services](#)

RELATED PRACTICES

- [Business Counseling](#)

This communication is intended for general information purposes and as a service to clients and friends of Foley Hoag LLP. This communication should not be construed as legal advice or a legal opinion on any specific facts or circumstances, and does not create an attorney-client relationship.

United States Treasury Regulations require us to disclose the following: Any tax advice included in this document was not intended or written to be used, and it cannot be used, for the purpose of avoiding penalties under the Internal Revenue Code.

Attorney advertising. Prior results do not guarantee a similar outcome. © 2017 Foley Hoag LLP. All rights reserved.