

Investment Management Alert

February 6, 2018

Form ADV Due Date is Saturday, March 31, 2018 for Most RIAs and ERAs

Registered investment advisers (RIA) and exempt reporting advisers (ERA) are required to file their annual amendments to Form ADV within 90 days after the end of their fiscal year. This requirement means that RIAs and ERAs with a fiscal year ending December 31, 2017, would need to file their annual amendments (for RIAs) or reports (for ERAs) by Saturday, March 31, 2018.

Securities and Exchange Commission rules deem the due date to be extended if the Investment Adviser Registration Depository (IARD) is not open for accepting filings on a particular day. The Financial Industry Regulatory Authority, Inc. has informed us that the IARD will be open for submissions, and therefore, the due date for filing Form ADV will not be extended.

For an updated 2017-8 Compliance Calendar, please click [here](#).

Contact Information

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