

>>>FAIRVIEW FLASH REPORT <<<
IARD RENEWAL PROGRAM

WHAT IS IT?	In order for an IA firm to maintain active registrations and/or notice filing statuses with jurisdictions/states and for investment adviser representatives to maintain active registration statuses, firms must pay applicable renewal fees annually.
IMPORTANT DATES	<p>November 12, 2012 – Preliminary Renewal Statements will be available online via IARD/Web CRD beginning November 12, 2012, for IA firms and their representatives with approved or transitioned registration statuses in the system as of 11 p.m., ET, November 9, 2012.</p> <p>December 13, 2012 – FINRA must receive full payment of an IA firm’s Preliminary Renewal Statement by Thursday, December 13, 2012.</p> <p>Firms are encouraged to submit their electronic (i.e., Web CRD/IARD E-Pay, wire transfer) renewal payment no later than December 10 in order for payment to post to their Renewal Account by the deadline. Firms paying by check should account for U.S. mail delivery and payment processing time.</p>
WHAT ARE THE PAYMENT OPTIONS?	<p>Firms have several options for payment of their renewal statements, including:</p> <ul style="list-style-type: none">• Electronic payment via Web CRD/IARD E-Pay• Wire transfer• Automatic Daily Account-to-Renewal Account Transfer• Check
WHAT’S NEXT?	Fairview will be working with you in the coming weeks to answer any questions and provide any needed assistance with the renewal fee payment process.