



Investment Adviser Examination Document Request Checklist

Item #	Description	Location	Other Details
1. <input type="checkbox"/>	Most recent Form ADV, Part II and any disclosure document given in conjunction with or in lieu of Part II.		
2. <input type="checkbox"/>	A copy of each of the firm's standard advisory contracts or agreements.		
3. <input type="checkbox"/>	All promotional brochures, pamphlets, and other advertising materials furnished to clients or prospective clients within the past 12 months.		<ul style="list-style-type: none">▪seminar materials▪newsletters▪advertisements▪business cards▪letterhead
4. <input type="checkbox"/>	Written supervisory policies and procedures.		
5. <input type="checkbox"/>	Complete complaint, arbitration and litigation files.		
6. <input type="checkbox"/>	Any performance reports, data or graphs currently disseminated to clients or prospective clients along with the records and work papers supporting the claims.		
7. <input type="checkbox"/>	All accounts, books, and internal working papers that form the basis of any performance or rates of return used in advertisements.		
8. <input type="checkbox"/>	A list of all personnel including titles, CRD numbers, professional designations, and employment dates.		For certification purposes, this list must be signed by a principal.
9. <input type="checkbox"/>	A list of all parties paid cash referrals during the last three years.		

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10. <input type="checkbox"/>	Records providing evidence of offer or delivery of disclosure brochure or Part II of Form ADV, as well as copies of the disclosure documents delivered to clients by solicitors.		
11. <input type="checkbox"/>	A list of current clients under contract, the type of service provided to them, the current value of each account, and whether you have discretionary authority over the		
12. <input type="checkbox"/>	All documents granting discretionary trading authority over client assets.		
13. <input type="checkbox"/>	All written authorizations from clients granting trading authority to third parties.		
14. <input type="checkbox"/>	A list of clients who terminated services during the previous 12 months and the reason for termination.		
15. <input type="checkbox"/>	A list of all clients directly or indirectly related to any of the firm's affiliated/related persons.		This list must show the names of the clients & the parties to whom they are related.
16. <input type="checkbox"/>	A list of clients who have instructed direct brokerage business to a particular broker dealer.		This list should include the name of the broker dealer and the client's reason for such direction, if known.
17. <input type="checkbox"/>	A list of broker dealers affiliated with you and/or any of your related persons.		
18. <input type="checkbox"/>	Copies of the current written agreements concerning soft dollar arrangements.		
19. <input type="checkbox"/>	Separate ledgers and journals reflecting the trading in client accounts conducted in order to satisfy soft dollar commitments.		
20. <input type="checkbox"/>	A list of clients for whom financial plans were started or completed in the prior 12 months.		This list should include the fee charged for each plan and the dates the plan was started and completed.

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21. <input type="checkbox"/>	Currency Transaction Reports filed with the IRS.		
22. <input type="checkbox"/>	A list of all investment partnerships, trusts, and any other pooled investment vehicles created, offered, or managed by you or any of your associated persons to clients or prospective clients.		
23. <input type="checkbox"/>	With respect to the investments identified in Item 22, provide all offering memoranda, financial statements and agreements, as applicable, and all reports sent to the limited partners for the prior 12 months.		
24. <input type="checkbox"/>	A record of every transaction in a security in which you or any of your associated persons have any direct or indirect beneficial ownership.		
25. <input type="checkbox"/>	Minutes of board of directors' meetings, articles of incorporation, corporate bylaws, and stock transfer records or partnership agreements, where applicable.		
26. <input type="checkbox"/>	Journals or summary journals.		
27. <input type="checkbox"/>	General and auxiliary ledgers.		
28. <input type="checkbox"/>	All check books, bank statements, canceled checks, credit card statements and cash reconciliation documents.		
29. <input type="checkbox"/>	Trial balances, financial statements and internal audit papers.		
30. <input type="checkbox"/>	All bills and statements, whether paid or unpaid.		
31. <input type="checkbox"/>	Order memoranda.		
32. <input type="checkbox"/>	The brokerage account statements and order tickets for all proprietary trading and investment accounts.		
33. <input type="checkbox"/>	Your employees' personal securities transaction records.		

If you have custody of customer funds or securities:

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34. <input type="checkbox"/>	All documents executed by clients (including limited powers of attorney) authorizing you to withdraw client funds or securities upon your instruction to the custodian(s).		
35. <input type="checkbox"/>	Records showing all purchases, sales, receipts and deliveries of securities and all debits and credits in accounts for which you have custody. (P&S Blotter and Securities Received and Delivered Blotter)		
36. <input type="checkbox"/>	A separate ledger of accounts for each custodial client showing purchases, sales, receipts and deliveries of securities.		
37. <input type="checkbox"/>	Copies of confirmations of all transactions effected by or for the account of any client.		
38. <input type="checkbox"/>	For each security in which any of your custodial clients currently hold a position, provide a record reflecting: A) the client name(s); B) the date(s) that each of your clients purchased and/or sold the security; C) the number of shares currently owned by each of your clients; and, D) the physical location(s) of each client's security.		
39. <input type="checkbox"/>	A record reflecting all of the information contained in Item 38(D) but sorted by client name as opposed to being sorted by security.		
40. <input type="checkbox"/>	A copy of each of the client's quarterly account statements, as generated and delivered by the qualified custodian. If you also generate a statement that is delivered to the client, provide access to copies of the statements along with the date the statements were sent to the clients.		If you also generate a statement that is delivered to the client, provide access to copies of the statements along with the date the statements were sent to the clients.

If you provide investment supervisory or management services:

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41. <input type="checkbox"/>	Separate records for each client showing the securities purchased and sold, and the date, amount and price of each purchase and sale.		
42. <input type="checkbox"/>	For each security in which any client has a current position, information from which the investment adviser can promptly furnish the name of each the client, and the current		

The Utah Division of Securities may request additional information, client records such as contracts, client suitability information, correspondence, account statements, and transaction records/orders.