



Investment Adviser Pre-Exam Questionnaire

Instructions for Office Manager or Principal

- Complete all items in this questionnaire. Indicate N/A for items not applicable.
- Attach additional details and include question number for reference.
- **Red text denotes additional requested documents.**
- Return completed form and requested documents to the Utah Division of Securities.

Personnel

Question	Yes	No	If yes, provide details
1. In the last two years, was any employee discharged for cause or allowed to resign?	<input type="checkbox"/>	<input type="checkbox"/>	
2. In the last two years, was the firm or any of its representatives involved in any regulatory investigation, action or litigation or been the subject of any civil complaint, arbitration or criminal proceeding?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Do any personnel have unsatisfied judgments or liens, filed bankruptcy, or have otherwise compromised with creditors?	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the firm or any personnel maintain PO boxes or alternate mailing addresses other than their residence or physical address of the firm?	<input type="checkbox"/>	<input type="checkbox"/>	If yes, attach a list.
5. Is any representative or control person the subject of special review or supervision?	<input type="checkbox"/>	<input type="checkbox"/>	If yes, attach details and relevant documentation (supervisory plan, status report, etc.)
6. Do any personnel have business activities outside the firm?	<input type="checkbox"/>	<input type="checkbox"/>	If yes, attach a list of each person and their outside business.

7. How many persons work for the firm?	Number	On firm letterhead, provide a list of all personnel including name, title, CRD number, and production or commission number (if applicable). Principal of the firm should sign and date the document.
a. Total personnel		
b. Registered personnel		
c. Non-registered personnel		
d. Personnel providing investment advice		

8. Explain below how the adviser compensates unregistered personnel.

Nature of Business

9. Assets Under Management	Amount in Dollars	Number of Clients	Number of Accounts
Discretionary			
Non-Discretionary			

10. Check the businesses or services in which the adviser is engaged. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Brokerage	<input type="checkbox"/>	Accounting/Tax prep
<input type="checkbox"/>	Insurance	<input type="checkbox"/>	Legal
<input type="checkbox"/>	Real estate	<input type="checkbox"/>	No other business or service
<input type="checkbox"/>	Venture capital	<input type="checkbox"/>	Other business or service below
<input type="checkbox"/>	Bill payment		Other:
<input type="checkbox"/>	Lending		Other:
<input type="checkbox"/>	Credit counseling		Other:

11. Check the services provided by the adviser. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Asset management	<input type="checkbox"/>	Manage hedge fund or other pooled investments
<input type="checkbox"/>	Financial planning plus asset management	<input type="checkbox"/>	Selection of 3 rd party managers
<input type="checkbox"/>	Financial planning ONLY	<input type="checkbox"/>	Other advisory services described below
<input type="checkbox"/>	Solicit for other advisers plus asset management		Other:
<input type="checkbox"/>	Solicit for other advisers ONLY		Other:
<input type="checkbox"/>	Pay others for client referrals		Other:

12. Check the financial planning services the adviser provides. <i>Mark all that apply.</i>			
<input type="checkbox"/>	N/A – Do not offer financial planning services	<input type="checkbox"/>	Personal budget planning
<input type="checkbox"/>	Retirement planning	<input type="checkbox"/>	Services provided under retainer
<input type="checkbox"/>	Education planning (529 plans, etc.)	<input type="checkbox"/>	Other planning services described below
<input type="checkbox"/>	Estate planning		Other:
<input type="checkbox"/>	Business planning		Other:
<input type="checkbox"/>	Insurance planning		Other:
<input type="checkbox"/>	Bankruptcy planning		Other:

13. Financial Planning Clients	Number	Provide a copy of the firm's Supervisory/Compliance Procedures manual.
Number of financial planning clients currently engaged		
Number of financial plans completed in the last 12 months		

Products

14. Check the types of products the adviser recommends. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Equity Securities (stocks)	<input type="checkbox"/>	Options (listed or OTC)
<input type="checkbox"/>	Mutual funds	<input type="checkbox"/>	Futures
<input type="checkbox"/>	Exchange traded funds (ETFs)	<input type="checkbox"/>	Pooled investment vehicles (hedge funds)
<input type="checkbox"/>	Corporate debt securities	<input type="checkbox"/>	Limited partnerships
<input type="checkbox"/>	Federal, state or municipal securities	<input type="checkbox"/>	Promissory notes
<input type="checkbox"/>	Variable products (variable annuities or variable life)	<input type="checkbox"/>	Viaticals, Life settlements
<input type="checkbox"/>	Wrap programs	<input type="checkbox"/>	Proprietary products (proprietary securities, offerings, LLCs, special accounts)
<input type="checkbox"/>	3 rd party money managers	<input type="checkbox"/>	High frequency or algorithmic trading
<input type="checkbox"/>	Insurance (life, health, long-term care, property/casualty)	<input type="checkbox"/>	Other – describe:

15. Describe the adviser's investment strategy, analysis, and research methods.

16. Does the adviser provide advice not involving securities?	Yes	No	If yes, describe.
	<input type="checkbox"/>	<input type="checkbox"/>	

Fees & Compensation

17. Check the advisory fees the adviser charges. <i>Mark all that apply.</i>					
<input type="checkbox"/>	Asset based	<input type="checkbox"/>	Percent of net worth	<input type="checkbox"/>	Subscription
<input type="checkbox"/>	Performance based	<input type="checkbox"/>	Percent of annual income	<input type="checkbox"/>	Other described below
<input type="checkbox"/>	Hourly	<input type="checkbox"/>	Setup		Other:
<input type="checkbox"/>	Fixed	<input type="checkbox"/>	Termination		Other:

18. Check the financial planning fees the adviser charges. <i>Mark all that apply.</i>			
<input type="checkbox"/>	N/A – Do not provide financial planning services	<input type="checkbox"/>	Retainer
<input type="checkbox"/>	Hourly	<input type="checkbox"/>	Setup
<input type="checkbox"/>	Flat/Fixed	<input type="checkbox"/>	Other financial planning fees described below
<input type="checkbox"/>	Percent of net worth		Other:
<input type="checkbox"/>	Percent of annual income		Other:

19. Check the compensation from other sources received by the adviser or its representatives. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Referral compensation	<input type="checkbox"/>	No compensation from other sources
<input type="checkbox"/>	Brokerage commissions	<input type="checkbox"/>	Other compensation described below
<input type="checkbox"/>	Soft dollar arrangements		Other:
<input type="checkbox"/>	Insurance commissions		Other:

20. Check how often the adviser collects fees. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Monthly	<input type="checkbox"/>	Annually
<input type="checkbox"/>	Quarterly	<input type="checkbox"/>	In advance
<input type="checkbox"/>	Semi-annually	<input type="checkbox"/>	In arrears

21. Describe the adviser's refund policy on fees collected in advance.

22. Check the forms of payment the adviser accepts. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Cash	<input type="checkbox"/>	Credit Card
<input type="checkbox"/>	Check	<input type="checkbox"/>	Other described below
<input type="checkbox"/>	Direct deduction		Other:

23. Does the adviser maintain the client's credit card information and automatically charge the client's card for payment of the fees?	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>

Operations

24. Check the activities engaged in by the adviser or its representatives. <i>Mark all that apply.</i>		
<input type="checkbox"/>	Periodically review client portfolios	
<input type="checkbox"/>	Advertise for firm	
<input type="checkbox"/>	Advertise investment performance	Provide a sample
<input type="checkbox"/>	Generate its own account statements for clients	Provide a sample
<input type="checkbox"/>	Generate its own trade confirmations for clients	Provide a sample
<input type="checkbox"/>	Generate its own client account performance reports	Provide a sample
<input type="checkbox"/>	Lend money or securities to clients	Provide a list of these clients
<input type="checkbox"/>	Exercise discretionary trading authority over and client accounts	Provide a list
<input type="checkbox"/>	Borrow money or securities from clients	Provide a list of these clients
<input type="checkbox"/>	Receive and forward 3 rd party checks from clients	Provide a copy of the checks received log
<input type="checkbox"/>	Receive securities or cash from clients	Provide a copy of the cash/securities received log for the last 12 months
<input type="checkbox"/>	Have GENERAL power of attorney for any client's accounts	Provide a list of these clients
<input type="checkbox"/>	Have signatory authority for any client	Provide a list of these clients
<input type="checkbox"/>	Deduct fees from client accounts	Provide a sample invoice
<input type="checkbox"/>	Serve as general partner to an investment partnership (pooled investment)	
<input type="checkbox"/>	Firm or personnel serve as trustee for a client's account (not a relative)	Provide a list of these clients
<input type="checkbox"/>	Firm or personnel serve as trustee for the beneficial trust of a relative	
<input type="checkbox"/>	Firm or personnel serve as executor for client's estate	Provide a list of these clients

25. Check where the adviser or its representative advertise. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Do not advertise	<input type="checkbox"/>	Newspapers/magazines
<input type="checkbox"/>	Business cards, letterhead, stationary	<input type="checkbox"/>	Radio/TV
<input type="checkbox"/>	Brochures	<input type="checkbox"/>	Internet/social networking sites
<input type="checkbox"/>	Newsletters	<input type="checkbox"/>	Other described below
<input type="checkbox"/>	Website		Other:
<input type="checkbox"/>	Seminars		Other:

26. Has there been any suspicion or belief that financial exploitation of a senior or vulnerable adult has occurred in the last two years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, please describe.
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27. Does the adviser or its representatives review client portfolios?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, how often?
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28. Does the adviser or its representatives generate individual performance reports for clients?	<input type="checkbox"/>	<input type="checkbox"/>	
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29. If the adviser or its representatives loan money or securities to clients, is the adviser a lending institution?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
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30. If the adviser or its representatives are a GP of a pooled investment partnership, is the investment partnership subject to an annual audit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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31. Check the type of custodian the adviser utilizes. <i>Mark all that apply.</i>			
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<input type="checkbox"/>	One or more qualified custodians	<input type="checkbox"/>	One or more off-shore or foreign custodians
<input type="checkbox"/>	One or more non-qualified custodians	<input type="checkbox"/>	No custodians – Adviser does not manage client funds

Provide a list of each custodian including contact information.
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32. Are any custodians related to the adviser? (Either party has a beneficial interest or control interest in the other)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, provide details.
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33. Describe how the adviser handles trading errors.

34. Describe how the adviser handles written and verbal customer complaints.

Question	Yes	No	If yes, provide details.
35. Does the adviser deliver a copy of its disclosure brochure or ADV2 to the customer at least by the time of contract signing and annually offer or deliver to the customers as required?	<input type="checkbox"/>	<input type="checkbox"/>	How is this documented?
36. Does the adviser deliver a copy of its privacy policy to the customer at least by the time of the contract signing?	<input type="checkbox"/>	<input type="checkbox"/>	How is this documented?
37. Does the adviser recommend clients use a certain broker dealer to place their trades?	<input type="checkbox"/>	<input type="checkbox"/>	Why that broker dealer?
38. Is the adviser affiliated with a broker dealer?	<input type="checkbox"/>	<input type="checkbox"/>	List the affiliate and describe the relationship.
39. Are any of the adviser's representatives associated persons of a broker dealer?	<input type="checkbox"/>	<input type="checkbox"/>	Provide details.
40. Does the adviser share common ownership with a broker dealer?	<input type="checkbox"/>	<input type="checkbox"/>	Explain.
41. Does the adviser share non-public client information with 3 rd parties?	<input type="checkbox"/>	<input type="checkbox"/>	Describe the client authorization and documentation details.
42. Do adviser representatives access any client outside accounts with username and password of the client? (bank, 401k, or brokerage accounts, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	Describe.

Compliance Review

Question	Yes	No	Date of last audit	If yes, please provide:
43. Within the last two years, was the adviser examined or investigated by any other regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>		A copy of the exam report(s) and the adviser's response.
44. Within the last two years, has the firm had an internal compliance review?	<input type="checkbox"/>	<input type="checkbox"/>		A copy of the auditor's report and documentation of any corrective measures.

Cybersecurity

45. Do you use any devices to store client data and/or execute securities transactions?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
45a. Check the types of devices used.	<input type="checkbox"/>	Desktop computer(s)	
	<input type="checkbox"/>	Laptop computer(s)/Tablet(s)	
	<input type="checkbox"/>	Smartphone(s)	
	<input type="checkbox"/>	Portable storage devices (thumb drives, etc.)	
45b. If using laptops or smartphones, do the devices ever physically leave the place of business?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
45c. Are any of these devices used to access the internet other than at the place of business?		<input type="checkbox"/>	<input type="checkbox"/>

46. How often are devices and their operating systems checked and updated?			
<input type="checkbox"/>	Automatic	<input type="checkbox"/>	Weekly
<input type="checkbox"/>	Manual	<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Daily	<input type="checkbox"/>	Greater than monthly

46a. Are all devices running the most recent updated operating systems?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
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47. Do you use anti-viral/anti-malware software?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
47a. Is anti-virus/anti-malware installed on all devices used to conduct firm business and access client data?	<input type="checkbox"/>	<input type="checkbox"/>	If yes, name the software. If no, explain.
47b. Does the anti-virus software run constantly in the background providing real-time virus detection?	<input type="checkbox"/>	<input type="checkbox"/>	Not applicable <input type="checkbox"/>

47c. How often are virus definitions updated?	
<input type="checkbox"/>	Automatic
<input type="checkbox"/>	Manual
<input type="checkbox"/>	Daily
<input type="checkbox"/>	Weekly
<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Greater than monthly

47d. How often is the anti-virus/anti-malware software updated?	
<input type="checkbox"/>	Automatic
<input type="checkbox"/>	Manual
<input type="checkbox"/>	Daily
<input type="checkbox"/>	Weekly
<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Greater than monthly

47e. How often are the devices scanned for viruses and malware?	
<input type="checkbox"/>	Automatic
<input type="checkbox"/>	Manual
<input type="checkbox"/>	Daily
<input type="checkbox"/>	Weekly
<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Greater than monthly

48. Do you utilize encryption for files or devices?	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>
48a. If you do use encryption, do you encrypt all your files or only certain key files?	All Files	Only Key Files
	<input type="checkbox"/>	<input type="checkbox"/>

49. Are passwords required for ALL computers and devices used to conduct business and access client data?	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>
49a. Describe the password requirements? (character length, capital letters, symbols)		

49b. How often are the passwords changed?	
<input type="checkbox"/>	At least quarterly
<input type="checkbox"/>	At least every 6 months
<input type="checkbox"/>	At least annually
<input type="checkbox"/>	Greater than annually

49c. Are individual files or folders containing personally identifiable information or other types of client sensitive data password-protected?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not applicable <input type="checkbox"/>
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50. Is computer data backed up on a separate device? (external drive, cloud, etc.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
50a. Is data backup stored somewhere other than the office where the computers are located?	<input type="checkbox"/>	<input type="checkbox"/>
50b. Is the data backup encrypted?	<input type="checkbox"/>	<input type="checkbox"/>

50c. If advisor stores backup data outside the office, where is it stored?	
<input type="checkbox"/>	Dedicated physical server maintained by the adviser
<input type="checkbox"/>	Dedicated physical server maintained by a 3 rd party
<input type="checkbox"/>	Web storage (i.e. cloud)

50d. How often is the data backed up?	
<input type="checkbox"/>	Daily
<input type="checkbox"/>	Weekly
<input type="checkbox"/>	Monthly
<input type="checkbox"/>	Greater than monthly

51. Do you use email to share information and communicate with clients?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
51a. Do you ever send or receive personal identifiable information or other sensitive data by email?	<input type="checkbox"/>	<input type="checkbox"/>
1. If yes, are you using encrypted email, a secure file sharing system, and/or encrypting sensitive documents before sending?	<input type="checkbox"/>	<input type="checkbox"/>
2. Have clients and employees been instructed not to send sensitive data by insecure means?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are clients advised to notify you in the event a client's computer or email becomes compromised?	<input type="checkbox"/>	<input type="checkbox"/>
51b. Do you allow clients to send transaction instructions via email?	<input type="checkbox"/>	<input type="checkbox"/>
1. If yes, do you have procedures in place to verify that the instructions are genuine?	<input type="checkbox"/>	<input type="checkbox"/>

51c. How is email routinely accessed?		
<input type="checkbox"/>	Office Computers	
<input type="checkbox"/>	Remote access from another computer	
<input type="checkbox"/>	Portable devices (tablet, smartphone)	
1.	Are passwords required to access email accounts?	Yes <input type="checkbox"/>
		No <input type="checkbox"/>
2.	Describe the email account password requirements? (character length, capital letters, symbols)	
3.	How often are the email account passwords changed?	
<input type="checkbox"/>	At least quarterly	
<input type="checkbox"/>	At least every 6 months	
<input type="checkbox"/>	At least annually	
<input type="checkbox"/>	Greater than annually	

51d. Is email archived and stored somewhere other than the office where the computers are located?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
1. If adviser stores archived email outside the adviser's office, where is it stored?			
<input type="checkbox"/>	Dedicated physical server maintained by the adviser		
<input type="checkbox"/>	Dedicated physical server maintained by a 3 rd party		
<input type="checkbox"/>	Web storage (i.e. Cloud)		
2. Is the archived email encrypted?		<input type="checkbox"/>	<input type="checkbox"/>
3. How often is email archived?			
<input type="checkbox"/>	Daily		
<input type="checkbox"/>	Weekly		
<input type="checkbox"/>	Monthly		
<input type="checkbox"/>	Greater than monthly		

52. Do you use a file sharing service to share information and communicate with clients? (i.e. Dropbox, DatAnywhere, etc.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
52a. Did you conduct due diligence on the file sharing service prior to use?	<input type="checkbox"/>	<input type="checkbox"/>
52b. Does the file sharing service have cybersecurity safeguards?	<input type="checkbox"/>	<input type="checkbox"/>

53. Do you or the firm have a website?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
53a. Do you or your personnel use the website to access client data?	<input type="checkbox"/>	<input type="checkbox"/>
53b. Can clients use the website to access their data through a client portal?	<input type="checkbox"/>	<input type="checkbox"/>
53c. Is the website monitored by a 3 rd party for intrusion attempts or malicious activity?	<input type="checkbox"/>	<input type="checkbox"/>
53d. Who hosts the website?		
53e. Who can make changes to the website?		

54. Do you use 3 rd party vendors or service providers (custodians, sub-advisers, vendors for data storage, payroll, IT, website, etc.) that store or have access to client data?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
54a. Do you include cybersecurity in your due diligence process when engaging a 3 rd party service provider? (custodians, sub-advisers, etc.)	<input type="checkbox"/>	<input type="checkbox"/>

55. Do you use an outside consultant/specialist for cybersecurity matters?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not applicable <input type="checkbox"/>
55a. Do you have a contract or agreement to define the specialist's role, responsibilities, expectations, and liabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55b. Does the firm have a non-disclosure or confidentiality agreement in place with the outside specialist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
55c. How often do you meet with the consultant/specialist?			
<input type="checkbox"/> At least quarterly			
<input type="checkbox"/> At least every 6 months			
<input type="checkbox"/> At least annually			
<input type="checkbox"/> Great than annually			
<input type="checkbox"/> Not applicable			

56. Has the firm had a cybersecurity risk assessment performed from an adversary's (hacker's) point of view to identify potential threats, vulnerabilities, and possible consequences?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not applicable <input type="checkbox"/>
56a. Is there documentation of the cybersecurity testing performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56b. Were any vulnerabilities identified during cybersecurity testing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
56c. Has the adviser taken to minimize or mitigate the identified vulnerabilities?	<input type="checkbox"/>	<input type="checkbox"/>	If yes, describe. If no, why not?

57. Do you have written policies and procedures in place regarding cybersecurity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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57a. Check the cybersecurity policies/procedures the adviser includes. <i>Mark all that apply.</i>			
<input type="checkbox"/>	Securing or limiting access to computers/devices	<input type="checkbox"/>	Oversight of 3 rd party IT or data service providers (due diligence, contracts with outside providers, confidentiality requirements, etc.)
<input type="checkbox"/>	Connecting to the internet (use of public wi-fi, VPN)	<input type="checkbox"/>	Conducting cybersecurity risk assessments from an adversary's point of view to identify potential threats, vulnerabilities, and possible consequences
<input type="checkbox"/>	Maintaining hardware & software (updates, upgrades)	<input type="checkbox"/>	Departing employee access to the network and other sensitive data
<input type="checkbox"/>	Use of email to transact business	<input type="checkbox"/>	Training (how to protect against breaches, industry/regulatory updates)
<input type="checkbox"/>	Phishing & other attempts to access data by unauthorized individuals		Other:
<input type="checkbox"/>	Loss, theft, or compromise of computers/devices or data storage devices		Other:
<input type="checkbox"/>	Continued operation during a cybersecurity event (possibly addressed in the business continuity plan)		Other:
<input type="checkbox"/>	Secure disposal of computers/devices or data storage devices		Other:

58. Does the firm maintain cybersecurity insurance coverage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not applicable <input type="checkbox"/>
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58a. Check the coverage in the cybersecurity insurance policy.	
<input type="checkbox"/>	Notification costs (clients and regulators)
<input type="checkbox"/>	Breaches by foreign cyber intruders
<input type="checkbox"/>	Insider breaches (e.g. employee theft)
<input type="checkbox"/>	Other:
58b. What are the exclusions of the policy?	

59. In the last 24 months, has the firm, or any of the firm’s employees, experienced theft, compromise, unauthorized access to firm data, or attempts to steal, compromise, or gain unauthorized access to firm data?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
59a. If yes, mark all relevant items regarding the cybersecurity incident.		
<input type="checkbox"/>	Involved an attempt to breach or impact client data	
<input type="checkbox"/>	The adviser notified clients	
<input type="checkbox"/>	An existing incident response plan was in place to help react to the incident	
<input type="checkbox"/>	An incident response plan has been created to help react in the future	
<input type="checkbox"/>	Existing business continuity plan was effective relating to the incident	
<input type="checkbox"/>	Have updated business continuity plan considering the incident	
<input type="checkbox"/>	Existing written supervisory procedures were effective to address the attempted or actual incident	
<input type="checkbox"/>	Have identified additional training or service needed to reduce a repeat of this attempt or actual incident	
<input type="checkbox"/>	Other:	

Please send the following:

- 1) Completed questionnaire.
- 2) Additional details and include question number for reference.
- 3) Additional requested documents (highlighted in red text; include question number for reference).

Coordinate delivery of questionnaire and additional documents with:

Utah Division of Securities
 Compliance Section
 160 E. 300 S. 2nd Floor
 Salt Lake City, UT 84111



Utah
 Department
 of Commerce
 Division of Securities

Email: securities@utah.gov

Phone: 801-530-6600