

Investment Adviser Compliance Alert: Requirements for Unaudited Financial Statements

Unaudited financial statements filed in accordance with Rule 69W-600.0161(2)(b), Florida Administrative Code, must include: 1) a Statement of Financial Condition or Balance Sheet; 2) a Statement of Income; and 3) an oath or affirmation that such statement or report is true and correct to the best knowledge, information, and belief of the person making such oath or affirmation. The oath or affirmation must be made before a person authorized to administer such oath or affirmation and must be made by an authorized representative of the investment adviser.