

Investment Adviser Compliance Alert - Renewals for Investment Advisers, Associated Persons, and Branch Offices

Renewal fees for investment adviser firms shall be submitted through the IARD by December 31 of the year the registration expires. Renewal fees for associated persons of investment advisers and branch offices of investment advisers shall be submitted through the CRD by December 31 of the year the registration or notice-filing expires.

An expired registration or notice-filing may be reinstated in accordance with the provisions of Section 517.12(10) or 517.1202(3), F.S., provided that all required information, renewal fees and reinstatement fees are date stamped by the cashier's office of the Department of Financial Services on or before January 31 of the year following the year of expiration.