



Ohio Department of Commerce

Division of Securities
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Ted Strickland
Governor

Kimberly Zurz
Director

INVESTMENT ADVISER EXAM LIST OF RECORDS NEEDED FOR REVIEW

The following items should be available for your examination by the Division of Securities. Copies should be made of those items marked (copy). The examiner may ask for copies of other items at a later time. In addition to the items listed below, **the examiner may request additional records and information** as necessary to complete the exam.

1. Compliance Manual;
2. Business Card(s) for all Investment Advisers and Investment Adviser Representatives;
3. If the Investment Adviser is a sole proprietor, evidence of passing any of the Series 65, 66 or 7 examinations and/or proof of any professional designation;
4. Most Recent Form ADV Part II, and/or other disclosure document(s) given to clients (**copy**);
5. Record providing evidence or dates of the delivery of the Form ADV Part II or other disclosure document and its annual offer;
6. A list of all clients, include names and addresses (**copy**);
7. A list of all clients whom have terminated their accounts in the last 12 months (**copy**);
8. Current Investment Advisory Contract(s) or agreement(s) (**copy**);
9. Advertising file, promotional brochures, pamphlets, or other materials used to inform or solicit prospective clients;
10. Complaint File;
11. Correspondence File (including client correspondence);
12. List of all licenses held and names of related b/d or insurance companies;
13. List of all employees with job titles and duties;
14. List of all Investment Adviser Representatives and the jurisdiction in which they are registered/licensed;
15. Financial Statements: (1) balance sheet; (2) income statement or profit and loss statement; and (3) general ledger, for the last year end and most recent period (**copy**);

16. Cash receipts journal, cash disbursements journal or equivalent (checkbook), bank statements, and bank reconciliations for the last year;
17. Records indicating the current securities position for each security that is held under management, which should show total assets under management **(copy)**;
18. Details regarding commissions and fees received, client invoices and supporting details;
19. Contracts and agreement executed with any third party solicitor(s) and disclosure documents disseminated by such solicitor(s);
20. Access to client files including signed contracts, custodial account applications, statements, correspondence, financial plans etc.;
21. Access to sales literature/prospectuses/private placement memoranda/offering circulars etc.;
22. Information regarding wrap programs offered; and
23. The firm's income tax filings for the prior year.