



**Dora**  
Department of Regulatory Agencies

**Division of Securities**  
Fred J. Joseph  
Securities Commissioner

John W. Hickenlooper  
Governor

Barbara J. Kelley  
Executive Director

March 2, 2011

## **NOTICE OF ELECTRONIC FILING REQUIREMENT FOR EXISTING COLORADO INVESTMENT ADVISERS**

Pursuant to section 11-51-403, C.R.S. and Colorado's Rule 51-4.1 (IA), the Securities Commissioner may require electronic submissions of forms from investment advisers at such time as the Investment Adviser Registration Depository (IARD) provides for the receipt of such forms. On April 1, 2011 Colorado will only accept the new Form ADV Part 2 and has mandated the submission to be electronic through the IARD for new applications.

For existing Colorado Investment Advisers licensed prior to April 1, 2011, Colorado has accepted the Form ADV Part II and Schedules (or brochure document) or the new Form ADV Part 2, either by electronic submission through the IARD or in paper format.

Additionally, Rule 51-4.1 (IA) requires that the Securities Commissioner provide 30 days notice of any new electronic submission requirement. As a result, and pursuant to Rule 51-4.1 (IA), existing Colorado licensed, prior to April 1, 2011, investment advisers are hereby notified that the Colorado Securities Commissioner requires that you convert your old Form ADV Part II and Schedules (or brochure document) to the new Form ADV Part 2 and mandates that it must be filed electronically through the IARD no later than June 30, 2011.

If you have any questions, you may contact the Colorado Division of Securities at 303-894-2320

