

## MEMORANDUM

To: Arkansas "Notice Filing" Investment Advisers

From: Tom Bull, Investment Adviser Supervisor

Re: Year 2007 Renewal Procedures

Date: October 25, 2006

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**FIRM RENEWAL PROCEDURE:** The renewal fee for SEC registered investment advisers that have made a Notice Filing in Arkansas is \$300 per firm. If you have funded your firm's renewal account, the renewal fee for 2007 will be automatically forwarded to our Department by the IARD system. If you have not funded your firm's renewal account, you will have to pay the renewal fee directly to this Department.

**REPRESENTATIVE RENEWAL PROCEDURE:** The IARD system will automatically forward the 2007 renewal fees for representatives that have Arkansas registrations in the CRD system. If you have not funded your firm's renewal account, the representative renewal fees will have to be paid directly to this Department. The renewal fee for registered representatives is \$75 per person. A representative, who either resides in Arkansas or enters the State on a regular basis to conduct investment advisory business with their clients must be registered in Arkansas.