

The Office of Financial Regulation (OFR) reminds state registered investment advisers with a branch office located in Florida they must notice-file the branch with the OFR. The definition for branch office is found in Rule 69W-200.001(8), Florida Administrative Code (F.A.C.). Advisers with Florida branch offices shall file the Form BR, Uniform Branch Office Registration, documents and fees prescribed in subsection 517.1202, Florida Statutes (F.S.), and Rule 69W-600.0034, F.A.C., through the Central Registration Depository (CRD). For information regarding branch office filings through the CRD, please contact the Financial Industry Regulatory Authority (FINRA) by calling (301) 590-6500 or via their website <http://www.finra.org/industry>.

Pursuant to subsection 517.1202, F.S., no investment adviser shall conduct business from a branch office within Florida unless the branch office is notice-filed with the OFR.

Advisers registered with the OFR and domiciled in Florida are required to annually file financial statements with the OFR via the mailing address provided on the last page of this document. Financial statements must be prepared in accordance with the provisions of Rule 69W-600.0161(2), F.A.C., and filed within 90 days of the firm's fiscal year end. The rule requires that financial statements be prepared in accordance with generally accepted accounting principles (GAAP); this means financial statements must be prepared using the **accrual** method of accounting.

Should you have questions, please contact the OFR by calling (850) 410-9893.