

Michigan Department of Licensing and Regulatory Affairs
 Corporations, Securities & Commercial Licensing Bureau
 Licensing Division
 SECURITIES
 P.O. Box 30018, Lansing, MI 48909
 517-241-6345
 www.michigan.gov/securities

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Approved By:	
Date Approved:	
License Number	

INVESTMENT ADVISER SUPPLEMENTAL APPLICATION FORM

AUTHORITY: 2008 PA 551, MCL 338.3434(A), AND 42 USC 654
 PENALTY: FAILURE TO PROVIDE THIS INFORMATION MAY RESULT IN DENIAL OF THE APPLICATION AND/OR DISCIPLINARY ACTION.

Name		IARD Number	
Address	City	State	Zip Code
E-mail Address		Telephone Number	
Have you conducted Investment Adviser business with Michigan clients? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, attach a written explanation of compliance with the Michigan Uniform Securities Act, 2008 PA 551, providing dates, number of clients, and consideration received.			
Are you currently registered as an Investment Adviser in Michigan? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Are any persons associated with, employed by, or with an ownership interest in the applicant currently registered as Securities Agents for Michigan (including sole proprietor applicants registered as Securities Agents for Michigan)? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, attach a list with the names, addresses, CRD #, name of Brokerage Firm, Brokerage Firm CRD #, dates of employment, and a description of the nature of association, employment, or ownership interest with the applicant.			
Required Additional Documents <ul style="list-style-type: none"> ● Provide a complete listing of all office addresses in Michigan. ● Provide a list of all persons that will render investment services to Michigan clients, include name, office address, and CRD # or Social Security #. 			
Certification I certify that the statements in this document are true and complete. I understand that any omitted statement, misrepresentation, or fraud may be cause for denial of my application, disciplinary action, or may be punishable by law. I <div style="display: flex; justify-content: space-between;"> _____ _____ </div> <div style="display: flex; justify-content: space-between;"> Signature Date </div>			