

[Date]

[State Securities Regulator Name]  
[Department of Financial Regulation/Securities Division]  
[Street Address]  
[City, State, Zip Code]

**RE: Notice of Exemption/Registration Qualification for [Investment Adviser Firm Name]**

To the Securities Commissioner:

Pursuant to the securities laws of the State of [State Name] (the "Blue Sky" laws), this letter serves to provide notice regarding the status of [Investment Adviser Firm Name] (the "Firm") as an investment adviser operating within this jurisdiction.

The Firm is currently [Registered with the SEC / Registered in the Home State of [State Name]] under CRD number [CRD Number].

The Firm seeks to qualify for [Registration / Notice Filing / Exemption] based on the following criteria:

- The Firm maintains its principal place of business in [State Name].
- The Firm [does/does not] have custody of client funds or securities.
- The Firm [has/has not] exceeded the de minimis threshold of five (5) clients in this state during the preceding 12-month period.
- The Firm's representatives providing advice in this state are properly qualified via the [Series 65 / Series 66 / Professional Designation].

Enclosed please find the following supporting documentation (if applicable):

- Form ADV Part 1 and Part 2.
- Proof of Payment for required filing fees.
- Investment Adviser Representative (IAR) registration applications.
- Balance sheet and net capital computation.

We request that you review this notification and confirm the Firm's qualification to conduct investment advisory business in [State Name]. Should you require additional information or have any questions regarding this filing, please contact [Contact Person Name] at [Phone Number] or [Email Address].

Sincerely,

[Signature]  
[Name of Principal/CCO]  
[Title]  
[Investment Adviser Firm Name]