



STATE OF LOUISIANA
OFFICE OF FINANCIAL INSTITUTIONS
BATON ROUGE, LOUISIANA



POLICY NO. S-01-2006
(Amended 1/27/2011)

DEPOSITORIES OF RECORDS

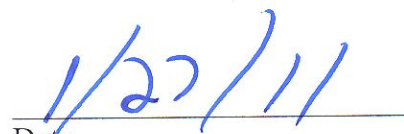
- I. **PURPOSE:** To designate depositories for certain records required to be filed with the Securities Division of this Office.
- II. **APPLICABILITY:** Broker-dealers, investment advisers, and issuers of securities
- III. **GENERAL:** In accordance with LSA-R.S. 51:710(H), the Commissioner designates the following depositories for records required to be filed with the Securities Division of this Office:

<u>Record</u>	<u>Depository</u>
a. Form ADV, Parts 1 and 2, filed by all investment advisers pursuant to Sec. 703(D)	Investment Adviser Registration Depository
b. Financial statements filed by federal covered advisers pursuant to 703(D) and 703(F)	Securities and Exchange Commission
c. Form BD filed by all broker-dealers pursuant to Sec. 703(B)	Central Registration Depository
d. Financial statements filed by out-of-state broker-dealers pursuant to Sec. 703(B)(1)(j) and 703(F)	Financial Industry Regulatory Authority
e. Prospectus used with respect to notice filings of securities pursuant to Sec. 705(G)(1) and 709(5)	Securities and Exchange Commission

- IV. **EXCEPTION:** The Commissioner reserves the right to request copies of any of the above records.



John Ducrest
Commissioner of Financial Institutions



Date