

IA Switch Resources

- ❑ The Maryland Securities Act
www.oag.state.md.us/Securities/SecuritiesAct.pdf
- ❑ The Maryland Code of Regulations
www.dsd.state.md.us/comar/subtitle_chapters/02_Chapters.aspx#Subtitle02
- ❑ Instructions for Form ADV, Part 2A and B
www.nasaa.org/wp-content/uploads/2011/08/4-Form-ADV-Part-2-Instructions.pdf
- ❑ North American Securities Administrators Association (NASAA)
www.nasaa.org
- ❑ NASAA Investment Adviser Switch Resource Center
www.nasaa.org/1719/ia-switch-resource-center/
- ❑ NASAA Coordinated Examination Report
www.nasaa.org/industry-resources/investment-advisers/coordinated-examinations/
- ❑ Securities and Exchange Commission Switching Advisers
<http://www.sec.gov/divisions/investment/midsizedadviserinfo.htm>