



## Ascendant Form ADV Part 2A and 2B Templates: The “Getting Started” Guide

Thank you for downloading Ascendant Compliance Management’s Form ADV Part 2A and Part 2B Templates!

On July 21, 2010, the SEC voted to adopt a new Form ADV, Part 2: the long awaited narrative brochure that replaces the check-the-box format that has been part of Form ADV, Part II since 1978. New Part 2A Brochures must be filed by SEC registered investment advisers as a part of all annual updating amendments beginning January 1, 2011. After considering this change for 10 years, the SEC provided this relatively short window to implement the new Brochure and Brochure Supplement.

Ascendant has created these Form ADV, Part 2A and Part 2B Templates in Word document form avoiding any complicated hidden codes or complexities. We have created the required structure of the Form to give you a head start towards the deadline.

Our new Form ADV Part 2A and Part 2B Templates include all Item *Headings* that must be completed by registered investment advisers. Ascendant further created a *Table of Contents* with linked *Headings* to track each required Item. Per the SEC’s instructions, each of the included Items must be included in every Form ADV, Part 2. (You may add sub-headings as you determine necessary.)

### Ascendant Compliance Management

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Ascendant further utilized the “*Comments*” field to embed the specific information that must be addressed for each Item so that you can save precious time by having immediate cross-references to the required content. Depending on your version of Word you may view all such *Comment* fields by placing your cursor over each *Comment*, or by viewing the “Review” tab and opening a “*Reviewing Pane*” horizontally or vertically. *Comment* fields embedded in the document will not show in your printed versions and will serve as reference for drafting purposes only.

Once you have completed drafting the Brochure, the Table of Contents page numbers may be updated by right clicking your mouse and selecting “Update Fields.” Your final version must be converted to a searchable .pdf document for filing on the Investment Adviser Registration Depository (IARD) as part of your next annual updating amendment after 12/31/2010.

Our goal, as always, is to provide you with effective compliance solutions.

Please contact Ascendant for further information about our available services to investment advisers, fund managers, and broker dealers.

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