



Connie Lawson
Secretary of State

Secretary of State

State of Indiana

Securities Division

Alex Glass
Securities Commissioner

COMPLIANCE ALERT

TO: All Indiana-domiciled Registered Investment Advisers and Broker-Dealers
FROM: Alex Glass, Securities Commissioner
DATE: January 4, 2021
RE: Annual State Registered Firm Questionnaire Due on or before March 31, 2021.

The Indiana Secretary of State, Securities Division (“Division”) requires that all Indiana-registered Investment Advisers and Broker-Dealers complete the Investment Adviser/Broker-Dealer Questionnaire (“Questionnaire”) annually. Firms must electronically submit responses to the Questionnaire in its entirety to comply with this inquiry. The Questionnaire must be completed **on or before March 31, 2021**.

The link for the Questionnaire was distributed to registered firms via email on January 4, 2021. The email was distributed through the online survey software company SurveyMonkey. The subject line for the email is: “2021 Indiana Securities Division Questionnaire – Responses Due on or Before March 31, 2021.” The email’s sender will display as “tatrice@sos.in.gov via [SurveyMonkey](#).”

Firms who have not received the link for the Questionnaire should check their junk or spam email folders and any other filter which may have disrupted its delivery.

Firms who successfully complete the survey through the link will receive a confirmation email from SurveyMonkey shortly after their responses have been submitted. Firms should preserve this confirmation email for their records.

The Questionnaire has multiple pages, which a user navigates through by clicking the “Next” button to proceed to the next page. Once all applicable prompts have been answered, the user completes and submits the Questionnaire by clicking the “Done” button.

For any questions regarding the Questionnaire, please contact:

- Teaune Trice, Senior Examiner tatrice@sos.in.gov
- Ron Matlock, Examiner rmatlock@sos.in.gov

The obligation to ensure that the Questionnaire has been completed rests with a registered firm. Any firm who cannot locate or has other difficulty accessing the Questionnaire link should contact the Division so that any technological issues can be resolved.

Failure to complete and return the Questionnaire by March 31, 2021, will be considered a violation of 710 IAC 4-14-14, and the matter will be referred to the Division’s Enforcement Section.

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