

Dated 11/2020 – Effective 2/1/21

New York State Office of the Attorney General
Investor Protection Bureau
28 Liberty St., 21st Floor New York, 10005
NY-IASW should be submitted by email to IASW@ag.ny.gov.

Form NY-IASW
Special Waiver Qualification Under 13 NYCRR 11.7(b) for Investment Adviser Representatives of State
Registered Investment Advisers or Federally Covered Investment Advisers

Representative Name _____ CRD Number _____

Investment Adviser Firm Name _____ CRD Number _____

Investment Adviser Firm Address _____ Initial Employment/
Representation Date _____

Request for Waiver of Examination

1. Have you submitted a Form U4 through CRD/IARD requesting investment adviser representative (RA) registration in New York on or before August 31, 2021?
 Yes No (If no, you are not eligible for a special waiver under 13 NYCRR 11.7(b))
2. Are you a natural person who, for at least two (2) continuous years preceding February 1, 2021, permissibly and in the regular course of business, acted as an investment adviser representative, *other than acting solely as a solicitor*, from a place of business in the state? (You are not eligible for this waiver if you have had any lapse in employment as an investment adviser representative exceeding two (2) continuous years in the four (4) year period immediately preceding your application for registration)
 Yes No
(If you impermissibly served as an investment adviser representative for an investment adviser who was, or was required to be, registered in New York prior to February 1, 2021, including by failing to meet exam requirements or receive a waiver, *you are not eligible* for a special waiver)
3. Have you been the subject of any regulatory or civil action, proceeding or arbitration in the preceding ten (10) years reportable on form U4 or been notified that you are currently the subject of a regulatory or law enforcement investigation related to investment related activities? (“Currently” means you have received notice that such an investigation has commenced and do not have reason to believe that it has concluded.)
 Yes No

If the answer to question 3. is yes, attach a detailed statement describing each applicable event.

All statements contained herein are true and correct and undersigned understands that any false statement shall constitute a violation of Article 23-A of the General Business Law.

Dated:

By: _____
Signature of Representative

Sworn to before me this
day of 20__

Notary Public