



STATE OF NEBRASKA
DEPARTMENT OF BANKING AND FINANCE

DAVE HEINEMAN
GOVERNOR

JOHN MUNN
DIRECTOR

IMPORTANT RENEWAL NOTICE

November 9, 2006

Attention: Federal Covered Investment Advisers

Regarding: 2007 Renewal Information

All federal covered adviser notice filings and investment adviser representative registrations expire in Nebraska on December 31, 2006. All renewal statement payments must be submitted through CRD/IARD by December 8, 2006, as set forth below. You should adhere to the timetables and methods of payments as set forth on websites such as www.iard.com, www.sec.gov/iard, www.nasaa.org, www.nasd.com and in other communications your firm received from the NASD.

DO NOT SEND ANY PAPERWORK OR FEES DIRECTLY TO NEBRASKA. All applicable fees will be extracted by CRD/IARD.

2007 NOTICE FILING RENEWALS FOR FEDERAL COVERED ADVISERS: Nebraska will access Form ADV, Part I through CRD/IARD. All necessary amendments must be made through CRD/IARD prior to the electronic form filing deadline date of December 20, 2006. Amendments to Form ADV Part II (which are not filed through CRD/IARD) are not to be filed directly with Nebraska unless specifically requested to do so.

Failure to renew on a timely basis is a violation of the Securities Act of Nebraska. In such an event, the Department may require the firm to refund applicable fees to clients, require the firm to register as an investment adviser, and impose other possible sanctions or fines as it determines is appropriate under the circumstances.

If your firm is no longer conducting business in Nebraska, uncheck Nebraska in Item 2 of Form ADV. DO NOT use Form ADV-W to withdraw notice filings; it should only be used to withdraw your firm's registration with the SEC.

2007 REPRESENTATIVE REGISTRATION RENEWALS: Each representative must have a Form U-4, containing all necessary amendments, available on CRD/IARD prior to **December 20, 2006**. If a representative is no longer doing business in Nebraska, a Form U-5 must also be filed through CRD/IARD prior to December 20, 2006.

Refer to 48 NAC 8 and 48 NAC 9 pertaining to renewal of federal covered advisers and investment adviser representatives. These rules are available for review at <http://www.ndbf.org>.

If you have questions regarding renewals of notice filings and the associated representative registration renewals please contact the IARD Hotline (NASDR Gateway Call Center) at (240) 386-4848. For other questions, you may contact Marcia Greve, Staff Assistant at (402) 471-3445, or email marcia.greve@bkg.ne.gov.

Location: Commerce Court • Suite 400 • 1230 'O' Street • Lincoln, Nebraska • 68508-1402

Mailing Address: P.O. Box 95006 • Lincoln, Nebraska • 68509-5006

Financial Institutions Division
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Bureau of Securities
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