

USE THIS FORM ONLY TO SEEK WAIVERS FROM STATE ADVISER REGISTRATIONS EXAMS.

DO NOT SUBMIT THIS FORM TO SEEK AN EXEMPTION FROM THE NASD SERIES 86 RESEARCH ANALYST EXAMINATION. An Analyst's employer must contact FINRA directly to seek an exemption from the Series 86 Examination. CFA Institute will work directly with FINRA to confirm eligibility status.

WAIVERS FOR CFA CHARTERHOLDERS

REGISTRATION THROUGH THE STATE INVESTMENT ADVISER REGISTRATON DEPOSITORY (IARD)

If you are registering as an investment adviser or representative through the IARD, and seek to claim a waiver from state competency exams based on CFA charterholder status, you must complete this form.

CFA Institute's Advocacy Program has succeeded in obtaining state waivers for CFA charterholders from most state competency exams for those seeking to register as an **investment adviser (or as an investment adviser representative).***

In order to claim this waiver based on CFA charterholder status through the electronic investment adviser registration depository (IARD), you must complete the following form so that CFA Institute can provide this "matching" information to the IARD system. **Otherwise, the system will not recognize your CFA charterholder status, and accordingly not recognize your availability for a waiver.**

The following release form authorizes CFA Institute to convey your current charterholder status and your identifying information to the IARD for this purpose only.

MEMBER NAME: _____

MEMBER ID#: _____

SOCIAL SECURITY NUMBER: _____ *(must be completed)*

I hereby authorize CFA Institute to provide the above information to FINRA, in its role as IARD administrator, for the purpose of verifying my CFA charterholder status in connection with my filings to register as an **investment adviser or representative** in one or more states.

SIGNATURE: _____ **DATE:** _____

Please fax this form to Debra Palmore at 434.951.5320 or mail it to her at CFA Institute, 560 Ray C. Hunt Drive, Charlottesville, Virginia 22903

*** Waivers do NOT apply to those seeking to register as, or serve in the capacity of, a broker-dealer.**