

**18 NCAC 06A .1710      TERMINATION/WITHDRAWAL/INVESTMENT ADVISER REGISTRATIONS**

(a) Investment advisers. The application for withdrawal of registration as an investment adviser pursuant to Section 78C-19(e) of the Act shall be completed by following the instructions on Form ADV-W (Notice of Withdrawal from Registration as Investment Adviser) (17 C.F.R. 279.2) and filed upon Form ADV-W with IARD.

(b) Investment adviser representatives. The application for withdrawal of registration as an investment adviser representative pursuant to Section 78C-19(e) of the Act shall be completed by following the instructions on Form U-5 (Uniform Termination Notice for Securities Industry Registration) and filed upon Form U-5 with IARD.

*History Note:      Authority G.S. 78C-16(b); 78C-19(e); 78C-20; 78C-30(a); 78C-30(b);  
Temporary Rule Eff. January 2, 1989 for a Period of 180 Days to Expire on June 30, 1989;  
Eff. February 1, 1989;  
Temporary Amendment Eff. January 14, 2002;  
Amended Eff. April 1, 2003;  
Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. December  
6, 2016.*