**Section 130.837 Transition to Electronic Filing**

a) On or before November 1, 2002, each investment adviser who is registered or required to be registered shall submit its Form ADV with the NASD, utilizing the IARD, unless it has been granted a hardship exemption.

b) On or before November 1, 2002, each registered investment adviser or federal covered investment adviser shall file with the NASD, utilizing the IARD, a complete Form U-4 for each investment adviser representative who is registered or required to be registered, unless the investment adviser has been granted a hardship exemption.

c) After November 1, 2002, filing shall be in accordance with Sections 130.838 and 130.839 of this Part.

(Source: Added at 26 Ill. Reg. 14843, effective September 30, 2002)