

RULES CROSS-REFERENCE SHEET

REQUIRED RECORDS FOR ALL ADVISERS

WAC 460-24A-200(1)(e):	Invoices to clients
WAC 460-24A-200(1)(g):	Written communications
WAC 460-24A-220(16):	Written client contract-required elements
WAC 460-24A-200(1)(j):	Written agreements
WAC 460-24A-200(1)(k):	Advertising
WAC 460-24A-200(1)(l):	Personal securities transactions
WAC 460-24A-200(1)(m):	Personal securities transactions
WAC 460-24A-200(1)(n):	Form ADV Part II or brochure
WAC 460-24A-145(2):	Annual offer or delivery of Part II or brochure
WAC 460-24A-200(1)(o):	Clients obtained from solicitors
WAC 460-24A-200(1)(q):	Complaints and Litigation
WAC 460-24A-200(1)(r):	Suitability
WAC 460-24A-200(1)(s):	Supervisory procedures
WAC 460-24A-200(1)(u):	Form U4
WAC 460-24A-200(1)(t):	Correspondence and filings with regulators
WAC 460-24A-200(5)(b):	Organizational records
WAC 460-24A-220(17):	Material nonpublic information policy
Gramm-Leach-Bliley Act:	Privacy policy and client information safeguards
WAC 460-24A-200(1)(a)(b)(d)(f):	Financial records
WAC 460-24A-200(1)(e):	Bills

REQUIRED RECORDS FOR MANAGERS

WAC 460-24A-200(1)(c):	Transaction order memoranda
WAC 460-24A-200(1)(h):	List of discretionary accounts
WAC 460-24A-200(1)(i):	Powers of attorney
WAC 460-24A-200(1)(p):	Records supporting any performance calculations
WAC 460-24A-200(3)(a):	Client position records
WAC 460-24A-200(3)(b):	Client position records by security

CUSTODY

WAC 460-24A-200(2)(a):	Records showing all transactions
WAC 460-24A-200(2)(b):	Client ledgers
WAC 460-24A-200(2)(c):	Confirmations
WAC 460-24A-105:	Segregation of client assets

RECORDS RETENTION AND STORAGE

WAC 460-24A-200(5)(a):	Retention period
WAC 460-24A-200(6):	Retention required after withdrawal of registration
WAC 460-24A-200(7):	Storage medium

ONGOING FILING RESPONSIBILITIES

WAC 460-24A-057:	Renewal of registration
WAC 460-24A-205:	Amendments to Form ADV and Form U4
WAC 460-24A-060:	Fiscal year end balance sheet
WAC 460-24A-170(1):	Net worth requirements
WAC 460-24A-170(4):	Reporting net worth deficiencies

ETHICAL CONDUCT

460-24A-220:	Fiduciary duty
460-24A-220(1):	Unsuitable recommendations
460-24A-220(2):	Discretion without authorization
460-24A-220(6), (7):	Borrowing from or lending money to clients
460-24A-220(8):	Misrepresentation
460-24A-220(10):	Unreasonable fees
460-24A-220(11):	Conflicts of interest
460-24A-220(12):	Guarantees