

# Investment Adviser Firm Summary


## SMH CAPITAL ADVISORS LLC ( CRD # 108344/SEC#:801-54089 ) [Show All 7](#)

CUMMER MOYERS CAPITAL ADVISORS INC, SMH CAPITAL ADVISORS, INC., SMH CAPITAL ADVISORS LLC, SMH ASSET MANAGEMENT, SANDERS MORRIS HARRIS...

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The adviser's **REGISTRATION** status is listed below.

### REGISTRATION STATUS

SEC / JURISDICTION	REGISTRATION STATUS 	EFFECTIVE DATE
SEC	Approved	6/6/1997

### NOTICE FILINGS

Investment adviser firms registered with the SEC may be required to provide to state securities authorities a copy of their Form ADV and any accompanying amendments filed with the SEC. These filings are called "notice filings". Below are the states with which the firm you selected makes its notice filings. Also listed is the date the firm first became notice filed or registered in each state.

JURISDICTION	EFFECTIVE DATE
Arizona	4/18/1997
California	8/5/1997
Colorado	5/15/2001
Connecticut	2/23/1999
Delaware	12/18/2024
Florida	8/6/1997
Georgia	3/15/1997
Illinois	7/8/1998
Kansas	3/28/2023
Louisiana	5/15/2001
Maryland	9/19/1997
Massachusetts	5/13/1997
Missouri	6/26/2020
New Hampshire	6/15/2000

New Jersey	9/12/1997
New Mexico	7/16/1997
New York	9/24/1996
Ohio	5/15/2001
Oklahoma	6/26/2020
Pennsylvania	9/16/1997
Texas	6/9/1997
Virginia	6/13/1997
Wisconsin	10/16/1997
Wyoming	6/26/2020

## EXEMPT REPORTING ADVISERS

Exempt Reporting Advisers ("ERA") are investment advisers that are not required to register as investment advisers because they rely on certain exemptions from registration under sections 203(l) and 203(m) of the Investment Advisers Act of 1940 and related rules. Certain state securities regulatory authorities have similar exemptions based on state statutes or regulations. An ERA is required to file a report using Form ADV, but does not complete all items contained in Form ADV that a registered adviser must complete. Other state securities regulatory authorities require an ERA to register as an investment adviser and file a complete Form ADV. Below are the regulators with which an ERA report is filed.

### Not Currently an Exempt Reporting Adviser

#### B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both. Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

#### IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

#### Disclosures

Disclosures can be customer complaints or arbitrations, regulatory actions, employment terminations, bankruptcy filings and certain civil or criminal proceedings that they were a part of.