

660:11-5-1. Purpose [\[AMENDED\]](#)

The rules in this subchapter have been adopted to provide procedures for complying with the provisions ~~of Sections 1-401 through 1-402~~ of the Securities Act relating to the ~~licensing registration~~ of broker-dealers and agents and to establish post-registration requirements and standards of ethical practices for broker-dealers and agents~~under the Securities Act.~~