

**TITLE 660. DEPARTMENT OF SECURITIES
CHAPTER 11. OKLAHOMA UNIFORM SECURITIES ACT OF 2004**

**SUBCHAPTER 5. BROKER-DEALERS AND AGENTS
PART 7. RECORD KEEPING AND ETHICAL STANDARDS**

660:11-5-41. Books and records requirements for broker-dealers [\[AMENDED\]](#)

17 CFR §240.17a-3 [\(2013\)](#) and 17 CFR §240.17a-4 [\(2003\)\(2014\)](#), books and records rules established by the SEC under the 1934 Act, are hereby incorporated by reference as if fully set forth into this Chapter.