

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

**SUBCHAPTER 7. INVESTMENT ADVISERS AND INVESTMENT ADVISER
REPRESENTATIVES
PART 3. LICENSING PROCEDURES**

660:11-7-11. Initial registration [AMENDED]

(a) **Investment adviser.** Investment advisers applying for initial registration pursuant to Section 1-406 of the Securities Act:

- (1) shall file with the IARD:
 - (A) a completed Form ADV; and
 - (B) the filing fee specified in Section 1-612 of the Securities Act;
- (2) shall file with the Department:
 - (A) a list of the addresses, telephone numbers and resident representatives of all branch offices located within the state of Oklahoma, and if the principal office of the investment adviser is located in Oklahoma, all branch offices located elsewhere;
 - (B) audited financial statements as required by 660:11-7-44 unless exempt therefrom;
 - (C) a copy of each form of investment advisory contract to be executed by Oklahoma clients and if the principal office of the investment adviser is located in Oklahoma, a copy of each form of investment advisory contract to be executed by any other clients; and
 - (D) any additional documentation, supplemental forms and information as the Administrator may deem necessary; and
- (3) if a natural person, must have passed the applicable examinations specified in 660:11-7-13.

(b) **Investment adviser representative.** Investment adviser representatives applying for initial registration under the Securities Act:

- (1) shall file with the CRD:
 - (A) a completed or updated Form U-4;
 - (B) the filing fee specified in Section 1-612 of the Securities Act; ~~and~~
 - (C) ~~any additional documentation, supplemental forms and information as the Administrator may deem necessary;~~ proof of applicant's approved status of registration or licensure in a jurisdiction in which he has an office of employment where such registration is required; and
 - (D) any additional documentation, supplemental forms, and information as the Administrator may deem necessary; and
- (2) must have passed the applicable examinations specified in 660:11-7-13.