

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

**SUBCHAPTER 7. INVESTMENT ADVISERS AND INVESTMENT ADVISER
REPRESENTATIVES
PART 1. GENERAL PROVISIONS**

660:11-7-2. Definitions [AMENDED]

In addition to the terms defined in 660:11-1-3, the following words and terms when used in this subchapter shall have the following meaning, unless the context clearly indicates otherwise:

"IARD" means the [FINRA-operated Investment Adviser Registration Depository](#).

"Impersonal advisory services" means investment advisory services provided solely:

- (A) by means of written material or oral statements which do not purport to meet the objectives or needs of specific individuals or accounts;
- (B) through the issuance of statistical information containing no expression of opinion as to the investment merits of a particular security; or
- (C) any combination of the foregoing services.

"Investment company contract" means a contract with an investment company registered under the 1940 Act that meets the requirements of Section 15(c) of that Act.

"Solicitor" means any person who, directly or indirectly, solicits any client for, or refers any client to, an investment adviser.