

JAN 25 2018

INDIANA SECRETARY OF STATE  
SECURITIES DIVISION

IN THE MATTER OF: )  
 )  
 INVESTMENT ADVISER and )  
 INVESTMENT ADVISER )  
 REPRESENTATIVE EXAMINATIONS )  
 )

18-0003 AO

INDIANA  
SECRETARY OF STATE

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**ADMINISTRATIVE ORDER**

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Comes now Alex Glass, Securities Commissioner, and pursuant to the authority vested in him by the Indiana Uniform Securities Act at Ind. Code § 23-19-4-12(e) and 710 Ind. Admin. Code 4-9-6, hereby orders:

1. Any individual applying for registration as an investment adviser or investment adviser representative under the Indiana Uniform Securities Act shall provide the Securities Commissioner with proof of obtaining a passing score on the following examination(s):
  - a. The Uniform Investment Adviser Law Examination (Series 65); or
  - b. The applicable required FINRA examination(s) and the Uniform Combined State Law Examination (Series 66).
2. Any individual who is registered as an investment adviser or investment adviser representative in any jurisdiction in the United States on the effective date of this order shall not be required to satisfy the examination requirements for continued registration, except that the Securities Commissioner may require additional examinations for any individual found to have violated any state or federal securities law.
3. An individual who has not been registered in any jurisdiction for a period of two (2) years shall be required to comply with the examination requirements of this order.
4. The examination requirements set forth in this order shall be waived for an individual who currently holds one of the following professional designations:
  - a. Certified Financial Planner (CFP) granted by the CFP Board of Standards;
  - b. Chartered Financial Consultant (ChFC) granted by the American College, Bryn Mawr, Pennsylvania;

- c. Personal Finance Specialist (PFS) granted by the American Institute of Certified Public Accountants;
- d. Chartered Financial Analyst (CFA) granted by the Chartered Financial Analyst Institute;
- e. Chartered Investment Counselor (CIC) granted by the Investment Adviser Association; or
- f. Such other professional designations as the Securities Commissioner may recognize on a case-by-case basis.

This administrative order shall be effective as of this date and shall remain in full force and effect until such time as it is modified by the Securities Commissioner.

IT IS FURTHER ORDERED that this Order supersedes Administrative Order No. 99-0307 AO.

APPROVED and ORDERED this 25th day of January, 2018.



CONNIE LAWSON  
SECRETARY OF STATE

A handwritten signature in black ink, appearing to read "Alex Glass".

ALEX GLASS  
SECURITIES COMMISSIONER