

JAN 25 2018

INDIANA SECRETARY OF STATE
SECURITIES DIVISION

IN THE MATTER OF:

BROKER-DEALER and
AGENT EXAMINATIONS

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18-0002 AO

INDIANA
SECRETARY OF STATE

ADMINISTRATIVE ORDER

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), hereby approves and Orders the following examinations for meeting the applicable compliance standards set forth in 710 Ind. Admin. Code 4-7-2, and 710 Ind. Admin. Code 4-8-2:

1. Broker-Dealer Principals and Branch Managers must pass the applicable required FINRA examination(s) for those registrations.
2. Agents must pass:
 - a. The applicable required FINRA examination(s) and the Uniform Securities Agent State Law Examination (Series 63); or
 - b. The applicable required FINRA examination(s) and the Uniform Combined State Law Examination (Series 66).

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. 95-0051 AO.

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



CONNIE LAWSON
SECRETARY OF STATE

ALEX GLASS
SECURITIES COMMISSIONER