REQUIREMENTS & REGULATIONS

[] Investment advisers and planners and securities brokers, dealers and salespeople must be registered with the Ohio Department of Commerce’s Division of Securities. They can be reached at (614) 644-7381 on-line at www.com.ohio.gov/secu/. *Remember to check local government agencies.*

[] Ohio's laws regarding SECURITIES DEFINITION can be found in Ohio Revised Code (ORC) Section 1707. The ORC can be found in your local library or on-line at http://codes.ohio.gov/orc/1707.01.

For more help, contact your local Small Business Development Center (SBDC).

www.ohiosbdc.ohio.gov

*REMEMBER TO CHECK LOCAL GOVERNMENT AGENCIES*

THIS CHECKLIST IS ABOUT STATE REQUIREMENTS.