

1st STOP CHECKLIST: INVESTMENT ADVISER SECURITIES BROKER/DEALER/SALESPERSON

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.