

# INVESTMENT ADVISER / SECURITIES BROKER-DEALER / SALESPERSON

## Checklist

- Investment advisers, planners, and securities brokers, dealers, and salespersons must be registered with the Ohio Department of Commerce, Division of Securities. Contact the division at (614) 644-7381 or online at [www.com.ohio.gov/secu/](http://www.com.ohio.gov/secu/).
- Ohio laws defining securities are found in Ohio Revised Code (ORC) Section 1707.01. The ORC is available online at <http://codes.ohio.gov/orc/1707.01>.

NAICS 523110/26

NAICS 523120/26

*For more help, contact your local Small Business Development Center (SBDC) at [www.ohiosbdc.net](http://www.ohiosbdc.net)  
Also, remember to check Federal, State and local government agencies. This checklist is about state requirements.  
Funded in part through a grant with the U.S. Small Business Administration.*



Department of  
Development

Small Business  
Development Centers



U.S. Small Business  
Administration