

660:11-7-11. Initial registration [AMENDED]

(a) **Investment adviser.** Investment advisers applying for initial registration pursuant to Section 1-406 of the Securities Act:

___ (1) shall file with the IARD:

___ (A) a completed Form ADV, ~~including Schedules A-I~~; and

___ (B) the filing fee specified in Section 1-612 of the Securities Act;

___ (2) shall file with the Department ~~within 30 days from the effective date of registration~~:

___ (A) ~~Part 2 of the Form ADV~~ a list of the addresses, telephone numbers and resident representatives of all branch offices located within the state of Oklahoma, and if the principal office of the investment adviser is located in Oklahoma, all branch offices located elsewhere;

___ (B) audited financial statements as required by 660:11-7-44 unless exempt therefrom;

___ (C) a copy of ~~the each form of~~ investment advisory contract to be executed by Oklahoma clients and if the principal office of the investment adviser is located in Oklahoma, a copy of each form of investment advisory contract to be executed by any other clients; and

___ (D) any additional documentation, supplemental forms and information as the Administrator may deem necessary; and

(3) if a natural person, must have passed the applicable examinations specified in 660:11-7-13.

(b) **Investment adviser representative.** Investment adviser representatives applying for initial registration under the Securities Act:

___ (1) shall file with the CRD:

___ (A) a completed or updated Form U-4 ~~if the information on the Form U-4 is not maintained in current form on the CRD~~;

___ (B) the filing fee specified in Section 1-612 of the Securities Act; and

___ (C) any additional documentation, supplemental forms and information as the Administrator may deem necessary; and

___ (2) must have passed the applicable examinations specified in 660:11-7-13.