

Notice of Intent to Adopt a Rule

LSA Document #09-619

Under [IC 4-22-2-23](#), the Securities Division intends to adopt a rule concerning the following:

OVERVIEW: Adopts rules relating to the broker-dealer compliance reports concerning the activities of the auditors on the approved auditor list. Questions concerning the proposed rule may be addressed to the following telephone number: (317) 232-6681. Statutory authority: [IC 23-19-4-11](#).

For purposes of [IC 4-22-2-28.1](#), the Small Business Regulatory Coordinator for this rule is:

Jeffrey Bush, Chief Deputy Commissioner
Indiana Secretary of State Todd Rokita
Securities Division
Indiana Government Center South
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