

Notice of Intent to Adopt a Rule

LSA Document #11-716

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

OVERVIEW: Adopts rules relating to the types of fees that registered investment advisers may charge, exemptions from registration for investment advisers, required documents for registered investment advisers, dishonest and unethical practices for investment advisers and broker-dealers, and the securities division administrative process. Questions concerning the proposed rule may be addressed to the following telephone number: (317) 232-6681. Statutory authority: [IC 23-19-6-5](#).

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 Charles P. White
Securities Division
Indiana Government Center South
302 West Washington Street, Room E111
Indianapolis, IN 46204
(317) 232-6681
jabush@sos.in.gov

For purposes of [IC 4-22-2-28.1](#), the Small Business Ombudsman designated by [IC 5-28-17-5](#) is:

Eric P. Shields
Indiana Economic Development Corporation
One North Capitol, Suite 700
Indianapolis, IN 46204
(317) 234-3997
smallbizombudsman@iedc.in.gov

Resources available to regulated entities through the small business ombudsman include the ombudsman's duties stated in [IC 5-28-17-5](#), specifically [IC 5-28-17-5\(9\)](#), investigating and attempting to resolve any matter regarding compliance by a small business with a law, rule, or policy administered by a state agency, either as a party to a proceeding or as a mediator.

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