



## Ohio Administrative Code

### Rule 1301:8-7-13 Division examinations and investigations.

Effective: January 4, 2016

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(A) The superintendent or authorized division personnel may conduct an examination in accordance with division (A) of section 1322.06 of the Revised Code or an investigation in accordance with division (B) of section 1322.10 of the Revised Code during normal business hours and as often as the superintendent determines appropriate. Examinations and investigations may be scheduled or unscheduled, announced or unannounced.

(B) The superintendent or authorized division personnel shall be given free access to all offices, places of business, computers, books, papers, and records, whether electronic or hardcopy, in the possession, control or ownership of any registrant, qualified exempt entity, and their employees and licensees for the purpose of conducting an examination or investigation in accordance with Chapter 1322. of the Revised Code and this chapter.

(C) To increase the effectiveness of examinations and investigations and to ensure the purposes of Chapter 1322. of the Revised Code are being carried out, a registrant, qualified exempt entity, or licensee shall maintain office hours from nine a.m. to five p.m. on the second Thursday of the following months: February, April, June, August, October, and December. Should the superintendent or authorized division personnel appear at the office of a registrant, qualified exempt entity, or licensee to conduct an examination or investigation at any time between nine a.m. to five p.m. on any of these six days and be denied access to any office, record or file for any reason, such denial may be considered a violation of division (A) of section 1322.072 of the Revised Code.

(D) As part or in furtherance of any examination or investigation conducted in accordance with Chapter 1322. of the Revised Code or this rule chapter, if the superintendent or authorized division personnel requests a written response, or the submission of books, papers, and records, whether electronic or hardcopy, or any other information, the applicant, registrant, qualified exempt entity, licensee, or person shall deliver a written response and any requested information within the time period specified in the request. If no time period is specified, the written response and any required submissions shall be delivered to the superintendent not later than thirty days after the date of such



request.

(E) Written responses submitted pursuant to paragraph (D) of this rule must address the issues raised by the examination or investigation to the superintendent's satisfaction.