



Ohio Administrative Code

Rule 3772-3-01 Institutional investor suitability or qualification.

Effective: January 3, 2022

(A) To be presumed suitable or qualified as an institutional investor, an entity must submit to the commission:

(1) Documentation sufficient to establish qualifications as an institutional investor; and

(2) A completed certification form, as prescribed by the commission.

(B) The commission may request any other information that would affect an entity's suitability or qualification as an institutional investor under Chapter 3772. of the Revised Code and any rules adopted thereunder. The entity must provide all information, documents, and materials at the entity's sole expense and cost.

(C) An entity should clearly identify those portions of the information submitted to the commission that the entity deems confidential, proprietary commercial information, trade secrets, or otherwise not subject to disclosure as a public record under Ohio law. Information provided as part of the suitability or qualification process is open to public inspection to the extent permitted by Ohio's Public Records Act and section 3772.16 of the Revised Code.
