



Ohio Administrative Code

Rule 5505-9-06 Ohio-qualified agents and investment managers.

Effective: January 18, 2018

(A) For purposes of section 5505.0610 and division (A)(4) of section 5505.068 of the Revised Code, an investment manager may be designated as an "Ohio-qualified investment manager" if the investment manager and/or any parents, affiliates, or subsidiaries of the investment manager meets the requirements of divisions (A)(1) and (A)(2) of section 5505.0610 of the Revised Code.

(B) For purposes of sections 5505.068 and 5505.0610 of the Revised Code, "principal place of business" includes an office in which the agent or investment manager regularly provides securities or investment advisory services and solicits, meets with, or otherwise communicates with clients.
