

MEMO# 1170

May 23, 1989

STATE SURVEY CONCERNING SERIES 65 EXAMINATION REQUIREMENT

May 23, 1989 TO: INVESTMENT ADVISER MEMBERS NO. 29-89 INVESTMENT ADVISER ASSOCIATE MEMBERS NO. 29-89 RE: STATE SURVEY CONCERNING SERIES 65 EXAMINATION REQUIREMENT _____ The Institute has received a copy of a survey conducted by the Uniform Examination Committee of the North American Securities Administrators Association, Inc. This survey identifies many of the states which either currently require, will require, or indicated that they will not require an investment adviser or investment adviser representative to take and pass the Series 65 Uniform State Investment Adviser Law Examination. A copy of the results from the survey is attached for your review. Also attached is a National Association of Securities Dealers, Inc. (NASD) booklet with regard to the PLATO examination system administered by the NASD. This pamphlet gives extensive information concerning the when, where, why, and how of taking the Series 65 examination. We will continue to keep you informed of state requirements concerning Series 65 as we learn of them. Robert L. Bunnen, Jr. Assistant General Counsel Attachments

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