

MEMO# 1915

May 15, 1990

OKLAHOMA INTRODUCES FINANCIAL PLANNERS ACT

May 15, 1990 TO: INVESTMENT ADVISERS COMMITTEE NO. 14-90 RE: OKLAHOMA INTRODUCES FINANCIAL PLANNERS ACT

Attached is a copy of a bill introduced in Oklahoma to regulate financial planners. The bill would require financial planners to register with the securities commission and to make certain disclosures to clients. In addition, the bill would authorize the securities administrator to institute civil and criminal actions against financial planners. We will keep you advised of developments. Amy B. Rosenblum Assistant General Counsel Attachment

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