

**MEMO# 956**

February 9, 1989

## **SERIES 65 LAW EXAMINATION APPLICANTS MUST FILE REQUESTS ON FORM U-10**

February 9, 1989 T O: INVESTMENT ADVISER MEMBERS NO. 9-89 INVESTMENT ADVISER ASSOCIATE MEMBERS NO. 9-89 R E: SERIES 65 LAW EXAMINATION APPLICANTS MUST FILE REQUESTS ON FORM U-10 \_\_\_\_\_ As you will recall, the North American Securities Administrators Association, Inc. (NASAA) has developed a law examination for investment advisers and investment adviser associate members. The Series 65 examination is now being offered through the National Association of Securities Dealers, Inc.'s (NASD) PLATO system at Control Data Corporation learning centers located in a number of cities throughout the country. For non-NASD members, the application to take Series 65 must be filed with the NASD on Form U-10. (NASD members or associated persons must use Form with the NASD on Form U-10. (NASD members or associated persons must use Form U-4.) A copy of Form U-10 is attached. Please note that the attached Form U-10 is only a copy of the form and the NASD requires an original to be filed in order to take the examination. You may write or call the NASD to request a Form U-10. The NASD telephone number is (301) 738-6500. Robert L. Bunnen, Jr. Assistant General Counsel Attachment

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