



ACTION: Final

Department of Commerce

Division of Securities

John R. Kasich, Governor

Jacqueline T. Williams, Director

DATE: 09/16/2015 11:32 AM

MEMORANDUM

To: Paula Steele, Regulatory Policy Advocate
Common Sense Initiative, Office of Lt. Governor Mary Taylor

From: D. Michael Quinn, Division Legal Counsel, Ohio Division of Securities
Department of Commerce

Date: April 27, 2015

Re: Acknowledgement of CSI Review, Proposed Rules OAC 1301:6-3-02; 1301:6-3-03;
1301:6-3-04.1; 1301:6-3-06; 1301:6-3-08; 1301:6-3-09; 1301:6-3-09.1; 1303:6-3-09.3;
1301:6-3-12; and 1301:6-3-13 – Registration of Securities Rules

The Ohio Department of Commerce, Division of Securities, is in receipt of the April 13, 2015, CSI Review of the above-mentioned rule package. The review made no recommendations for changes and concluded that the rules should be filed with the Joint Committee on Agency Rule Review ("JCARR"). Therefore, the Division will proceed with the formal filing of this rule package with JCARR.



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Jacqueline T. Williams, Director

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To: Paula Steele, Regulatory Policy Advocate
Common Sense Initiative, Office of Lt. Governor Mary Taylor

From: D. Michael Quinn, Division Legal Counsel, Ohio Division of Securities
Department of Commerce

Date: April 27, 2015

Re: Acknowledgement of CSI Review, Proposed Rules OAC 1301:6-1-01, 1301:6-1-03,
1301:6-3-01 – Administrative and Definitional Rules

The Ohio Department of Commerce, Division of Securities, is in receipt of the February 17, 2015, CSI Review of the above-mentioned rule package. The review made no recommendations for changes and concluded that the rules should be filed with the Joint Committee on Agency Rule Review ("JCARR"). Therefore, the Division will proceed with the formal filing of this rule package with JCARR.



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From: D. Michael Quinn, Division Legal Counsel, Ohio Division of Securities
Department of Commerce

Date: April 27, 2015

Re: Acknowledgement of CSI Review, Proposed Rules OAC 1301:6-3-14; 1301:6-3-14.1;
1301:6-3-14.2; 1301:6-3-15; 1301:6-3-15.1; 1301:6-3-16; 1301:6-3-16.1; 1301:6-3-16.3; and
1301:6-3-16.5 – Licensing Rules

The Ohio Department of Commerce, Division of Securities, is in receipt of the April 13, 2015, CSI Review of the above-mentioned rule package. The review made no recommendations for changes and concluded that the rules should be filed with the Joint Committee on Agency Rule Review ("JCARR"). Therefore, the Division will proceed with the formal filing of this rule package with JCARR.



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From: D. Michael Quinn, Division Legal Counsel, Ohio Division of Securities
Department of Commerce

Date: April 27, 2015

Re: Acknowledgement of CSI Review, Proposed Rules OAC 1301:6-3-19, 1301:6-3-23,
1301:6-3-39.1, 1301:6-3-44 and 1301:6-3-48 – Procedures & Prohibitions Rules

The Ohio Department of Commerce, Division of Securities, is in receipt of the April 13, 2015, CSI Review of the above-mentioned rule package. The review made no recommendations for changes and concluded that the rules should be filed with the Joint Committee on Agency Rule Review ("JCARR"). Therefore, the Division will proceed with the formal filing of this rule package with JCARR.