



**Department  
of Commerce**

Mike DeWine, Governor  
Jon Husted, Lt. Governor

Division of Securities  
Sheryl Maxfield, Director

MEMORANDUM

To: Joseph Baker, Regulatory Policy Advocate

Fr: Kelly Kauffman, Division Counsel  
Ohio Department of Commerce, Division of Securities

Date: April 29, 2021

Re: CSI Review – Five-year Rule Review 2021 (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)

The Ohio Department of Commerce, Division of Securities is in receipt of the CSI Review of the above-referenced rule package dated April 28, 2021.

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.

77 South High Street  
22<sup>nd</sup> Floor  
Columbus, Ohio 43215

An Equal Opportunity Employer and Service Provider

614-644-7381  
Fax: 614-728-2846  
Investor Protection Hotline:  
877-683-7841  
TTY/TDD: 800-750-0750  
com.ohio.gov