

710 SECURITIES DIVISION**Legislative Notice for Rule Readoption**

LSA Document #25-829

Under [IC 4-22-2.6-3](#), the Indiana Securities Division notifies the Legislative Council of its intent to readopt rules in anticipation of rules expiring January 1, 2027.

STATUTORY AUTHORITY: [IC 23-19-6-5](#)

SUBJECT MATTER: The readoption of rules concerning uniform securities.

OVERVIEW

Rules to be readopted without changes are as follows:

- [710 IAC 4-1](#) General Provisions
- [710 IAC 4-2](#) Exemptions
- [710 IAC 4-3-1](#) Filing of original application; power of attorney
- [710 IAC 4-3-3](#) Contents of all applications for registration
- [710 IAC 4-4](#) Disclosure Requirements
- [710 IAC 4-5-1](#) Annual report
- [710 IAC 4-5-2](#) Quarterly financial statements
- [710 IAC 4-5-3](#) Final affidavit
- [710 IAC 4-5-5](#) Filing of advertising and sales literature
- [710 IAC 4-5-6](#) Contents of advertisement, article, or communication relating to registered securities
- [710 IAC 4-6-1](#) Maximum commissions
- [710 IAC 4-6-4](#) Nonvoting common stock; unfair practices
- [710 IAC 4-6-5](#) Preferred stock and debentures; unfair practices
- [710 IAC 4-6-6](#) Offerings of securities with high price to earnings multiples
- [710 IAC 4-6-7](#) Commissions on installment sales
- [710 IAC 4-6-8](#) Statements of policy
- [710 IAC 4-7](#) Broker-Dealers
- [710 IAC 4-8](#) Agents
- [710 IAC 4-9](#) Investment Advisers
- [710 IAC 4-10](#) Standards of Practice
- [710 IAC 4-11](#) Financial Statements
- [710 IAC 4-12](#) Division Proceedings
- [710 IAC 4-13](#) Records and Investigations
- [710 IAC 4-14](#) Investigation; Rules of Practice
- [710 IAC 4-15](#) Broker-Dealer Compliance Reports

Rules to be repealed are as follows:

- [710 IAC 4-3-2](#) Paper, printing, and language
- [710 IAC 4-5-4](#) Reports to securities holders
- [710 IAC 4-6-2](#) Options and warrants; unfair practices
- [710 IAC 4-6-3](#) Promotional shares

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