

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Rules to be repealed are as follows: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*Posted: 12/31/2025 by Legislative Services Agency*