

**TITLE 660. DEPARTMENT OF SECURITIES  
CHAPTER 11. OKLAHOMA UNIFORM SECURITIES ACT OF 2004**

**SUBCHAPTER 7. INVESTMENT ADVISERS AND INVESTMENT ADVISER  
REPRESENTATIVES  
PART 3. LICENSING PROCEDURES**

**660:11-7-13. Qualification examination requirements AMENDED**

(a) **Examination requirement.** Proof of compliance with the written examination requirements of this rule is prerequisite to a complete filing for registration under the Securities Act.

(b) **Examinations.** Any natural person seeking registration as an investment adviser or investment adviser representative must pass the Series 65, or both the Series 66 and Series 7, or such other examination(s) or certifications determined by the Administrator to be acceptable in lieu thereof. The Administrator adopts the examinations as administered by FINRA as the required examinations.

(c) **Change in series number.** Should FINRA examination series numbers change, the most current examination series applicable to the category of registration shall apply. Effective October 1, 2018, FINRA is implementing a new Securities Industry Essentials (SIE) examination and revised agent-level qualification exams. At that point, it will be necessary for an applicant to pass the SIE in addition to the Series 66 and Series 7 as an alternative to passing the Series 65.