



**OFFICE OF THE SECRETARY OF STATE OF GEORGIA
SECURITIES DIVISION**

**INVESTMENT ADVISER AND INVESTMENT ADVISER REPRESENTATIVE
EXAMINATIONS NOTICE**

OCTOBER 3, 2018

Effective October 1, 2018, the Financial Industry Regulatory Agency (“FINRA”) will restructure the Representative-Level Qualification Examination Program applicable to Investment Advisers and Investment Adviser Representatives. The restructuring of the Representative-Level Qualification Examination Program establishes a two-tier examination requirement by introducing the Securities Industry Essentials (SIE) Exam, a general knowledge-based examination, and by transforming the representative-level examinations into specialized knowledge-based examinations. Therefore, this notice is to inform applicants intending on registering with the State of Georgia as an Investment Adviser or an Investment Adviser Representative of the following:

The Commissioner of Securities for the State of Georgia (“Commissioner”) recognizes the following examinations for meeting the applicable compliance standards set forth in Rule 590-4-4-.09:

1. Any individual applying for registration as an investment adviser or investment adviser representative shall provide the Commissioner with proof of obtaining a passing score on the following examination(s):
 - (a) The Uniform Investment Adviser Law Examination (Series 65); or
 - (b) The applicable required FINRA examination(s) and the Uniform Combined State Law Examination (Series 66).

This notice shall be effective as of this date and shall remain effective until such time as it is modified by the Commissioner.