

660:11-5-13. Agent transfer [\[AMENDED\]](#)

An agent who wishes to terminate his employment with one registered broker-dealer and thereafter commence employment with another broker-dealer may do so without causing a suspension in the agent's registration if all of the following conditions are met:

~~(1)~~(a) Both the terminating and employing broker-dealers are members of the [National Association of Securities Dealers, Inc. Financial Industry Regulatory Authority, Inc.](#)

~~(2)~~(b) The transfer is effected in accordance with the terms and conditions of the NASAA/[NASDFINRA](#) Central Registration Depository Temporary Agent Transfer Program.

~~(3)~~(c) The employing broker-dealer has executed and filed an "Undertaking for Participation in the NASAA/[NASDFINRA](#) Central Registration Depository TAT Program."

~~(4)~~(d) The employing broker-dealer currently is not subject to an order of the Administrator which would otherwise make this section unavailable.