

**660:11-7-1. Purpose** [\[AMENDED\]](#)

The rules in this subchapter are adopted to provide procedures for complying with the provisions ~~of Sections 1-403 and 1-404~~ of the Securities Act relating to the [licensing-registration of investment advisers and investment adviser representatives](#) ~~under the Securities Act and the submission of notice filings by SEC covered investment advisers, and to establish post-registration requirements and standards of ethical practices for investment advisers and investment adviser representatives.~~