

Third Party Marketers Association Webcast

State Registrations — A Guide for 3PMs **Monday, September 17, 2007 at 1:00 EDT**

Presented by

Joseph P. Borg

Director, Alabama Securities Commission
President, North American Securities Administrators Association

Rex Staples

General Counsel, North American Securities Administrators Association

Tanya Solov

Director, Illinois Securities Department

AGENDA

An Introduction to the National Association of Securities Administrators Association (NASAA)

- What is NASAA?
- What is the role of State Securities Regulators?
- How does NASAA differ from the NASD or the SEC?
- Understanding how to work with the State Securities Regulators

State Registration Requirements

- How do I know whether I need to register with a state, and if so, how do I do it?
- The Uniform Securities Act: Who follows the Act and who does not
- General Registration requirements and exemptions
 - Broker/Dealers and Registered Representatives
 - Investment Advisors and Investment Advisory Representatives

Current Agenda for State Regulators

- Hot exam topics
- Regulatory and Enforcement actions

NASAA as a Resource

- Working with the NASAA
- Office of the Ombudsman

Q&A Session for Webcast Attendees

[Register Now](#)