South Carolina Code of Regulations 13-404. Criminal Record Requirement for Broker-Dealer Agents and Investment Adviser Representatives.

Pursuant to Section 35-1-406 (a)(2), every person applying for registration as a broker-dealer agent or investment adviser representative in this State must submit to the Securities Commissioner a criminal record history obtained from the South Carolina Law Enforcement Division. This requirement is waived for NASD registered broker-dealer agents.