



South Carolina Office of the Attorney General Securities Division

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Request for IAR Continuing Education Exemption

Requests must be received by the Securities Division by November 15 of the year for which the exemption is requested. Exemptions are not effective until you receive confirmation from the Securities Division.

To qualify for an Exemption from Investment Adviser Representative (IAR) Continuing Education (IAR CE), in accordance with Order 25002, a registrant must meet the following criteria:

- Twenty-five (25) years or more of licensure as an IAR under §35-1-404 in South Carolina; and
- Age sixty-five (65) or more (submit a copy of state/federal ID with date of birth with form).

REGISTRANT INFORMATION:

Individual CRD Number: _____

Name: (Last, First, Middle, and Suffix) _____
(Print name as shown in the CRD)

Preferred Mailing Address: _____
(Street/PO BOX, City, State, Zip)

Home Address: (Street, City, State, Zip) _____

Phone: _____ Email Address: _____

Date of Birth: _____ Age: _____ Years of Licensure as an IAR in SC: _____

I, _____ hereby certify that to the best of my knowledge and belief, I am qualified to be granted an exemption from the IAR CE requirements as prescribed by Order 25002. I understand that this exemption is only valid in South Carolina, and if I have ever been, or am currently licensed as an IAR in another state that requires IAR CE, or if I seek to become licensed in the future in a state that requires IAR CE, I will still be required to complete the IAR CE required by that state in order to retain or obtain a license as an IAR in that state. I also understand that failure to keep my continuing education current may make me ineligible to participate in the IAR Exam Validity Extension Program (Order Number 24004) in the future if I do not meet the IAR CE requirements of that program.

Signature of Registrant

Date

Signature of Firm Chief Compliance Officer

Date