



## Series 65 or Series 7/Series 66 Examination Waivers for CIMA® Designees

(Date of information is August 2017; Investments & Wealth Institute cannot guarantee its accuracy and suggests contacting your state securities regulator to confirm.)

States that waive Series 65 and Series 7/Series 66 combination examination testing for Certified Investment Management Analyst (CIMA) license holders are indicated below.

State	Waivers Granted for CIMA Designees in Good Standing	Waivers Granted for CIMA Designees on a Case-by-Case Basis	Phone Number	State Securities Regulators Website
Alaska	Yes		907-465-2521	www.dced.state.ak.us/bsc/secur.htm
Alabama	No	Yes	334-242-2984	www.asc.state.al.us/
Arizona	No	No	602-542-4242	www.azcc.gov/divisions/securities
Arkansas	No	No	501-324-9260	www.securities.arkansas.gov/
California	No	No	916-445-7205	www.corp.ca.gov
Colorado	Yes		303-894-2320	www.dora.state.co.us/securities
Connecticut	No	No	860-240-8230	www.ct.gov/dob
Delaware	No	Yes	302-577-8424	www.state.de.us/securities/index.htm
District of Columbia	No	Yes	202-727-8000	www.disr.washingtondc.gov
Florida	No	No	850-410-9500	www.ofr.com
Georgia	No	No	404-656-3920	www.sos.state.ga.us/securities/
Hawaii	No	No	808-586-2744	www.hawaii.gov/dcca/areas/sec
Idaho	No	Yes	208-332-8004	http://nance.idaho.gov/
Illinois	No	No	217-782-2256	www.cyberdriveillinois.com/departments/securities/
Indiana	No	Yes	317-232-6681	www.in.gov/sos/securities/index.htm
Iowa	No	No	515-281-4441	www.iid.state.ia.us/ia_securities_bureau/index.asp
Kansas	No	Yes	785-296-3307	www.securities.state.ks.us
Kentucky	No	No	502-573-3390	www.kfi.ky.gov
Louisiana	No	No	225-925-4512	www.ofi.state.la.us/index.htm
Maine	No	No	207-624-8551	www.state.me.us/pfr/sec/sec_index.htm
Maryland	No	Yes	410-576-6360	www.oag.state.md.us/securities/index.htm
Massachusetts	No	Yes	617-727-3548	www.state.ma.us/sec/sct/sctidx.htm
Michigan	Does not register IAR		517-241-6356	www.michigan.gov/o s

Minnesota	No (IA only; does not registered IAR)		651-296-4973	<a href="http://www.commerce.state.mn.us">www.commerce.state.mn.us</a>
Mississippi	No	No	601-359-6367	<a href="http://www.sos.state.ms.us">www.sos.state.ms.us</a>
Missouri	Yes		573-751-4136	<a href="http://www.sos.mo.gov/securities/">www.sos.mo.gov/securities/</a>
Montana	No	No	406-444-2040	<a href="http://sao.mt.gov/">http://sao.mt.gov/</a>
Nebraska	No	No	402-471-3445	<a href="http://www.ndbf.ne.gov/">www.ndbf.ne.gov/</a>
Nevada	No	No	702-486-2440	<a href="http://www.sos.state.nv.us/securities/">www.sos.state.nv.us/securities/</a>
New Hampshire	No	No	603-271-1463	<a href="http://www.sos.nh.gov/securities/">www.sos.nh.gov/securities/</a>
New Jersey	No	Yes	973-504-3600	<a href="http://www.njsecurities.gov/">www.njsecurities.gov/</a>
New Mexico	No	No	505-476-4580	<a href="http://www.rld.state.nm.us/securities/index.html">www.rld.state.nm.us/securities/index.html</a>
New York	No	No	212-416-8222	<a href="http://www.oag.state.ny.us/bureaus/investor_protection/investment_advisers.html">www.oag.state.ny.us/bureaus/investor_protection/investment_advisers.html</a>
North Carolina	No	No	919-733-3924	<a href="http://www.secretary.state.nc.us/sec/">www.secretary.state.nc.us/sec/</a>
North Dakota	No	No	701-328-2910	<a href="http://www.ndsecurities.com/department-info/default.asp">www.ndsecurities.com/department-info/default.asp</a>
Ohio	No	No	614-644-7381	<a href="http://www.com.ohio.gov/secu/">www.com.ohio.gov/secu/</a>
Oklahoma	No	No	405-280-7700	<a href="http://www.securities.ok.gov/">www.securities.ok.gov/</a>
Oregon	No	No	503-378-4387	<a href="http://www.cbs.state.or.us/external/dfcs">www.cbs.state.or.us/external/dfcs</a>
Pennsylvania	No	No	717-787-8061	<a href="http://www.psc.state.pa.us">www.psc.state.pa.us</a>
Rhode Island	No	Yes	401-462-9527	<a href="http://www.dbr.state.ri.us">www.dbr.state.ri.us</a>
South Carolina	No	Yes	803-734-9916	<a href="http://www.scag.gov/securities/index.html">www.scag.gov/securities/index.html</a>
South Dakota	No	Yes	605-773-4823	<a href="http://www.state.sd.us/drr2/reg/securities/index.htm">www.state.sd.us/drr2/reg/securities/index.htm</a>
Tennessee	No	No	615-741-2947	<a href="http://tn.gov/commerce/securities/index.shtml">http://tn.gov/commerce/securities/index.shtml</a>
Texas	No	No	512-305-8300	<a href="http://www.ssb.state.tx.us/">www.ssb.state.tx.us/</a>
Utah	No	Yes	801-530-6600	<a href="http://www.securities.utah.gov/">www.securities.utah.gov/</a>
Vermont	No	Yes	802-828-3420	<a href="http://www.bishca.state.vt.us/SecuritiesDiv/consumer_assistance.htm">www.bishca.state.vt.us/SecuritiesDiv/consumer_assistance.htm</a>
Virginia	No	No	804-371-9187	<a href="http://www.scc.virginia.gov/srf/">www.scc.virginia.gov/srf/</a>
Washington	No	No	360-902-8760	<a href="http://www.d.wa.gov/sd/">www.d.wa.gov/sd/</a>
West Virginia	No	Yes	304-558-2261	<a href="http://www.wvsao.gov/securitiescommission/">www.wvsao.gov/securitiescommission/</a>
Wisconsin	No	No	608-266-1064	<a href="http://www.wd.org/fi/securities/">www.wd.org/fi/securities/</a>
Wyoming	Does not register IA or IAR		307-777-7378	<a href="http://soswy.state.wy.us/default.aspx">http://soswy.state.wy.us/default.aspx</a>
Puerto Rico	No	No	787-723-3131	<a href="http://www.cif.gov.pr/valores_eng.html">www.cif.gov.pr/valores_eng.html</a>
U.S. Virgin Islands	No	No	340-774-7166	<a href="http://ltg.gov.vi/division-of-banking-and-insurance.html">http://ltg.gov.vi/division-of-banking-and-insurance.html</a>