



STATE OF WASHINGTON  
**DEPARTMENT OF FINANCIAL INSTITUTIONS**  
SECURITIES DIVISION

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**Notice of Adoption of Rule Amendments:  
Investment Adviser Rules – WAC 460-24A**

**January 23, 2019**

We are writing to inform you that the Washington Securities Division has adopted amendments to the investment adviser rules at Chapter 460-24A WAC.

The amendments update various provisions of the investment adviser rules, including the rules regarding examination requirements, advertisements, custody, advisory contracts, performance compensation, and books and records. In addition, the amendments add a requirement for advisers to maintain cybersecurity policies and procedures and a code of ethics. The amendments also make various ministerial and plain English updates, such as alphabetizing the definitions rule. These updates promote investor protection, reflect the current practices of the Securities Division in its registration and examination of investment advisers, and incorporate current federal law and NASAA model rules.

The Rule-Making Order (Form CR-103) and the text of the Final Rules are available on our website at <https://dfi.wa.gov/rulemaking/investment-adviser-rules-amendments>.

If you have any questions regarding the rulemaking, please contact Jill Vallely by telephone at (360) 902-8801 or by e-mail at [jill.vallely@dfi.wa.gov](mailto:jill.vallely@dfi.wa.gov).