

**STATE OF NORTH DAKOTA**  
**SECURITIES DEPARTMENT**

In the Matter of:	)	
	)	
Electronic Filing of Securities	)	<b>REVISED ORDER MANDATING</b>
Registration Applications, Notice	)	<b>ELECTRONIC FILINGS</b>
Filings, Exemption Filings, Pre-Need	)	
Funeral Contract Reports, and	)	
Requests for Interpretive Opinion.	)	

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WHEREAS, Section 10-04-03(2) of the North Dakota Century Code provides that the Securities Commissioner may issue an order necessary or appropriate to carry out the provisions of the North Dakota Securities Act, including rules and forms governing registration statements, applications, notice filings and other records;

WHEREAS, certain securities registration applications, exemption filings, and other notice filings are time sensitive; and

WHEREAS, in order to implement a more complete remote work policy that provides timely service to the Securities Department's constituency, the Securities Commissioner has determined that it is in the best interest of issuers, other filers, the public, and the staff of the Securities Department, to mandate that certain securities related filings, pre-need funeral service contract report filings, and requests for interpretive opinion, be filed electronically utilizing, as directed, either the North American Securities Administrators Association Electronic Filing Depository (EFD) portal or the ND Securities Filing Portal accessible through the Department's website <https://www.securities.nd.gov/>.

IT IS HEREBY ORDERED that:

1. All securities registration applications filed under Sections 10-04-07.1, 10-04-07.2 or 10-04-08 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.
2. All unit investment trust notice filings made under Section 10-04-08.4 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.
3. All investment company fund notice filings made under Section 10-04-08.4 of the Act shall be filed via BlueExpress or via email to [securitiesfilings@ND.gov](mailto:securitiesfilings@ND.gov).
4. All Regulation D, Rule 506 notice filings made under Section 10-04-08.4 of the Act shall be made via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.
5. All Regulation A, Tier 2 notice filings made under Section 10-04-08.4 of the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/>.
6. Any other securities related filing required to be made under the Act shall be filed via the North American Securities Administrators Association EFD Portal (EFD) at <https://efdnasaa.org/> or via the ND Securities Filing Portal at <https://securitiesfilingportal.nd.gov>.
7. All Pre-need Funeral Service Contract reports made under N.D.C.C. Chapter 43-10.1 shall be filed via the ND Securities Filing Portal at <https://securitiesfilingportal.nd.gov>.
8. Any Request For Interpretive Opinion made under Section 10-04-03(6) of the Act shall be filed via the ND Securities Filing Portal at <https://securitiesfilingportal.nd.gov>.

9. Payment of fees shall be made electronically as directed by the EFD or ND Securities Filing Portal. Submitted filings will not be processed until payment is received by the Department.

10. This Revised Order shall be effective immediately.

**IN TESTIMONY WHEREOF**, witness my hand and seal this 10<sup>th</sup> day of November, 2021.



Karen J. Tyler, Securities Commissioner  
North Dakota Securities Department  
600 East Boulevard Ave.  
State Capitol – Fifth Floor  
Bismarck, ND 58505-0510  
(701) 328-2910